

COMMUNITY SERVICES BLOCK GRANT

STATE PLAN

STATE OF NEW MEXICO

OCTOBER 1, 2011 - SEPTEMBER 30, 2013

SEPTEMBER 1, 2011

**Sidonie Squier, New Mexico Human Services Department Secretary
Ted Roth, Income Support Division Acting Director
Nicole Taylor, Work and Family Support Acting Bureau Chief**

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I. Federal Fiscal Year or Years Covered by this State Plan and Application
Please specify the Federal fiscal year or years covered by this plan.

FFY 2012 and FFY 2013

II. Letter of Transmittal

Cover letter to the Director, Office of Community Services; include the CSBG Program Contact Person, the State CSBG Official who is to receive the CSBG Grant Award with complete addresses, telephone and fax numbers.

Attached in Section VI. Appendices, B.1.

III. Executive Summary

A. CSBG State Legislation

Describe and provide a reference for the State's statutory authority for the Community Services Block Grant Program.

In 1983 the New Mexico State Legislature passed and signed into law the Community Action Act. This Act serves as the statutory basis for the State of New Mexico for the implementation of the block grant program. (A copy of the State Statute is attached in Section VI. Appendices, B.2.)

Under the Community Action Act, the governor of the state of New Mexico is empowered to designate, as a Community Action Agency (CAA), any political subdivision of the state, combination of subdivisions, or a public or private nonprofit agency, so long as these entities conform to the criteria set forth in the Federal Act.

B. Designation of Lead State Agency to Administer the CSBG Program
Section 676(a) of the Act requires that the Chief Executive of each State designate an appropriate State agency to act as lead agency for administration of the Community Services Block Grant. (Include letter of designation in Section VI. Appendices B.3.)

Under New Mexico's Community Action Act, the New Mexico Human Services Department is the designated agency responsible for the provision of CSBG funds to Community Action Agencies (CAAs) in the State. (A copy of the State Statute is attached in Section VI. Appendices, B.2.). Within the Human Services Department, the CSBG program is administered by the Income Support Division/Work and Family Support Bureau.

The Human Services Department Secretary is Sidonie Squier (letter of designation is attached in Section VI. Appendices B.3). The Income Support Division Acting

Director is Ted Roth. The Work and Family Support Acting Bureau Chief is Nicole Taylor (the State CSBG Director).

Designated State Lead Agency: Human Services Department (HSD)
Director/Administrator of Designated State Agency: Sidonie Squier.

C. Public Hearing Requirements

Describe and provide documentation on how the State complied with legislative hearing requirements of the CSBG Act regarding the State Application and Plan, as follows:

(1) Public Hearing

Specify the date of the public hearing held by the designated lead agency for the Current State plan and describe the statewide distribution of notice of such hearing required under Section 676(a)(2)(B) of the Act.

A public hearing for this plan was held on August 31, 2011 in Santa Fe. The notice of publication appeared in the Albuquerque Journal on the following consecutive dates: August 5, 6, and 7, 2011. The Albuquerque Journal is the only newspaper in New Mexico that is available throughout the State and is the common business and information publication utilized for statewide public announcements. (See attached, Section VI. Appendices, A.2)

(2) Legislative Hearing

Specify the date of the last legislative hearing held in conjunction with Section 676(a)(3) of the Act, which requires each State to hold as least one legislative hearing every three years in conjunction with the development of the State plan.

The CSBG State Plan was submitted to the Legislative Health and Human Services Committee on December 15, 2009 in Santa Fe, New Mexico. (See Attached, Section VI. Appendices, A.1). The FFY 2010 and 2011 plan was submitted for review within the time frames allowed by the COATES Act.

(3) Public Inspection of State Plan

Describe how the State made available for public inspection and comment the Current State plan or revision to the State plan. (Section 676(e)(2) of the Act requires each State to make available to the public inspection each plan or revised State plan in such a manner as will facilitate review of and comment on the plan.)

A public hearing was held on August 31, 2011 in Santa Fe, New Mexico. The notice of publication included a toll free telephone number where the public is able to request a copy of the plan prior to the hearing. Several copies of the State plan were available at the hearing. The plan is available for public

inspection on HSD's website at:
<http://www.hsd.state.nm.us/isd/ISDPlans.html>. Copies of the plan were sent to all CAAs located in the state. In addition, copies of the plan are available to individuals and businesses interested in the plan.

IV. Statement of Federal and CSBG Assurances (which includes programmatic, administrative, financial and certifications)

As part of the annual or biannual application and plan required by Section 676 of the Community Services Block Grant Act, as amended, (42 U.S. C. 9901 et seq.) (The Act), the designee of the chief executive of the State hereby agrees to the Assurances in Section 676 of the Act -

A. Programmatic Assurances

(1) Funds made available through this grant or allotment will be used:

- (a) To support activities that are designed to assist low-income families and individuals, including families and individuals receiving assistance under part A of title IV of the Social Security Act (42 U.S.C. 601 et seq.), homeless families and individuals, migrant or seasonal farmworkers, and elderly low-income individuals and families to enable the families and individuals to:
 - (i) remove obstacles and solve problems that block the achievement of self-sufficiency (including self-sufficiency for families and individuals who are attempting to transition off a State program carried out under part A of title IV of the Social Security Act);
 - (ii) secure and retain meaningful employment;
 - (iii) attain an adequate education, with particular attention toward improving literacy skills of low-income families in the communities involved, which may include carrying out family literacy initiatives;
 - (iv) make better use of available income;
 - (v) obtain and maintain adequate housing and a suitable living environment;
 - (vi) obtain emergency assistance through loans, grants, or other means to meet immediate and urgent family and individual needs; and
 - (vii) achieve greater participation in the affairs of the communities involved, including the development of public and private grassroots partnerships with local law enforcement agencies, local housing authorities, private foundations, and other public and private partners to document best practices based on successful grassroots intervention in urban areas, to develop methodologies for widespread replication; and strengthen and improve relationships with local law enforcement agencies, which may include participation in activities such as neighborhood or community policing efforts.

- (b) To address the needs of youth in low-income communities through youth development programs that support the primary role of the family, give priority to the prevention of youth problems and crime, and promote increased community coordination and collaboration in meeting the needs of youth, and support development and expansion of innovative community-based youth development programs that have demonstrated success in preventing or reducing youth crime, such as programs for the establishment of violence-free zones that would involve youth development and intervention models (such as models involving youth mediation, youth mentoring, life skills training, job creation, and entrepreneurship programs); and after-school child care programs; and
 - (c) To make more effective use of, and to coordinate with, other programs related to the purposes of this subtitle (including State welfare reform efforts).
- (2) To describe of how the State intends to use discretionary funds made available from the remainder of the grant or allotment described in Section 675C(b) in accordance with the community services block grant, including a description of how the State will support innovative community and neighborhood-based initiatives related to the purposes of the community services block grant program. [‘676(b)(2)]
- (3) To provide information provided by eligible entities in the State, including:
- (a) a description of the service delivery system, for services provided or coordinated with funds made available through grants made under Section 675C(a) of the Act, targeted to low-income individuals and families in communities within the State;
 - (b) a description of how linkages will be developed to fill identified gaps in services, through the provision of information, referrals, case management, and follow-up consultations;
 - (c) a description of how funds made available through grants made under Section 675(a) will be coordinated with other public and private resources; and,
 - (d) a description of how local entities will use the funds to support innovative community and neighborhood-based initiatives related to the purposes of this subtitle, which may include fatherhood initiatives and other initiatives with the goal of strengthening families and encouraging effective parenting. [‘676(b)(3)]
- (4) To ensure that eligible entities in the State will provide, on an emergency basis, for the provision of such supplies and services, nutritious foods, and related services, as may be necessary to counteract conditions of starvation and malnutrition among low-income individuals. [676(b)(4)]

- (5) That the State and the eligible entities in the State will coordinate, and establish linkages between, governmental and other social services programs to assure the effective delivery of such services to low-income individuals and to avoid duplication of such services, and State and the eligible entities will coordinate the provision of employment and training activities, in the State and in communities with entities providing activities through statewide and local workforce investment systems under the local workforce investment systems under the Workforce Investment Act of 1998. [‘676(b)(5)]
- (6) To ensure coordination between antipoverty programs in each community in the State, and ensure, where appropriate, that emergency energy crisis intervention programs under title XXVI (relating to low-income home energy assistance) are conducted in such communities. [‘676(b)(6)]
- (7) To permit and cooperate with Federal investigations undertaken in accordance with section 678D of the Act.[676(b)(7)]
- (8) That any eligible entity in the State that received funding in the previous fiscal year through a community services block grant made under the community services block grant program will not have its funding terminated under this subtitle, or reduced below the proportional share of funding the entity received in the previous fiscal year unless, after providing notice and an opportunity for a hearing on the record, the State determines that cause exists for such termination or such reduction, subject to review by the Secretary as provided in Section 678C(b) of the Act. [‘676(b)(8)]
- (9) That the State and eligible entities in the State will, to the maximum extent possible, coordinate programs with and form partnerships with other organizations serving low-income residents of the communities and members of the groups served by the State, including religious organizations, charitable groups, and community organizations. [‘676(b)(9)]
- (10) To require each eligible entity in the State to establish procedures under which a low-income individual, community organization, or religious organization, or representative of low-income individuals that considers its organization, or low-income individuals, to be inadequately represented on the board (or other mechanism) of the eligible entity to petition for adequate representation. [‘676(b)(10)]
- (11) To secure from each eligible entity in the State, as a condition to receipt of funding by the entity through a services block grant made under this subtitle for a program, a community action plan (which shall be submitted to the Secretary, at the request of the Secretary, with the State plan) that includes a community-needs assessment for the community served, which may be coordinated with community-needs assessments conducted for other programs. [‘676(b)(11)]
- (12) That the State and all eligible entities in the State will, not later than fiscal year 2001, participate in the Results Oriented Management and Accountability System, another

performance measure system for which the Secretary facilitated development pursuant to Section 678E(b) of the Act. [‘676(b)(12)]

- (13) To provide information describing how the State will carry out the assurances. [‘676(b)(13)] (**This is the Narrative CSBG State Plan**).

B. Administrative and Financial Assurances

The State further agrees to the following, as required under the Act:

- (1) To submit an application to the Secretary containing information and provisions that describe the programs for which assistance is sought under the community services block grant program prepared in accordance with and containing the information described in Section 676 of the Act. [‘675A (b)]
- (2) To use not less than 90 percent of the funds made available to the State by the Secretary under Section 675A or 675B of the Act to make grants to eligible entities for the stated purposes of the community services block grant program and to make such funds available to eligible entities for obligation during the fiscal year and the succeeding fiscal year, subject to the provision regarding recapture and redistribution of unobligated funds outlined below. [‘675C (a) (1) and (2)]
- (3) In the event that the State elects to recapture and redistribute funds to an eligible entity through a grant made under Section 675C(a)(1) when unobligated funds exceed 20 percent of the amount so distributed to such eligible entity for such fiscal year, the State agrees to redistribute recaptured funds to an eligible entity, or require the original recipient of the funds to redistribute the funds to a private, nonprofit organization, located within the community served by the original recipient of the funds, for activities consistent with the purposes of the community services block grant program. [‘675C (a)(3)]
- (4) To spend no more than the greater of \$55,000 or 5 percent of its grant received under Section 675A or the State allotment received under Section 675B for administrative expenses, including monitoring activities.[‘675C(b)(2)]
- (5) In states with a charity tax credit in effect under state law, the State agrees to comply with the requirements and limitations specified in Section 675 (c) regarding use of funds for statewide activities to provide charity tax credits to qualified charities whose predominant activity is the provision of direct services within the United States to individuals and families whose annual incomes generally do not exceed 185 percent of the poverty line in order to prevent or alleviate poverty among such individuals and families. [‘675 (c)]
- (6) That the lead agency will hold at least one hearing in the State with sufficient time and statewide distribution of notice of such hearing, to provide to the public an opportunity to comment on the proposed use and distribution of funds to be provided through the grant or

allotment under Section 675A or '675B for the period covered by the State Plan. [‘676(a)(2)(B)]

- (7) That the chief executive officer of the State will designate an appropriate State agency for purposes of carrying out State community services block grant program activities. [‘676(a)(1)]
- (8) To hold at least one legislative hearing every three years in conjunction with the development of the state plan. [‘676(a)(3)]
- (9) To make available for the public inspection each plan or revised State plan in such a manner as will facilitate review of and comment on the plan. [‘676(e)(2)]
- (10) To conduct the following reviews of eligible entities:
 - (a) full onsite review of each such entity at least once during each three-year period;
 - (b) an onsite review of each newly designated entity immediately after the completion of the first year in which such entity receives funds through the community services block grant program;
 - (c) follow-up reviews including prompt return visits to eligible entities, and their programs, that fail to meet the goals, standards, and requirements established by the State;
 - (d) other reviews as appropriate, including reviews of entities with programs that have had other Federal, State or local grants (other than assistance provided under the community services block grant program) terminated for cause. [‘678B(a)]
- (11) In the event that the State determines that an eligible entity fails to comply with the terms of an agreement or the State plan, to provide services under the community services block grant program or to meet appropriate standards goals, and other requirements established by the State (including performance objectives), the State will comply with the requirements outlined in Section 678C of the Act, to:
 - (a) inform the entity of the deficiency to be corrected;
 - (b) require the entity to correct the deficiency;
 - (c) offer training and technical assistance as appropriate to help correct the deficiency, and submit to the Secretary a report describing the training and technical assistance offered or stating the reasons for determining that training technical assistance are not appropriate;
 - (d) at the discretion of the State, offer the eligible entity an opportunity to develop and implement, within 60 days after being informed of the deficiency, a quality

improvement plan and to either approve the proposed plan or specify reasons why the proposed plan cannot be approved;

- (e) after providing adequate notice and an opportunity for a hearing, initiate proceedings to terminate the designation of or reduce the funding to the eligible entity unless the entity corrects the deficiency. ['678(C)(a)]
- (12) To establish fiscal controls, procedures, audits and inspections, as required under Sections 678D(a)(1) and 678D(a)(2) of the Act.
- (13) To repay to the United States amounts found not to have been expended in accordance with the Act, or the Secretary may offset such amounts against any other amount to which the State is or may become entitled under the community services block grant program. ['678D(a)(3)]
- (14) To participate, by October 1, 2001, and ensure that all eligible entities in the State participate in the Results-Oriented Management and Accountability (ROMA) System. ['678E(a)(1)]
- (15) To prepare and submit to the Secretary an annual report on the measured performance of the State and its eligible entities, as described under '678E(a)(2) of the Act.
- (16) To comply with the prohibition against use of community services block grant funds for the purchase or improvement of land, or the purchase, construction, or permanent improvement (other than low-cost residential weatherization or other energy-related home repairs) of any building or other facility, as described in Section 678F(a) of the Act.
- (17) To ensure that programs assisted by community services block grant funds shall not be carried out in a manner involving the use of program funds, the provision of services, or the employment or assignment of personnel in a manner supporting or resulting in the identification of such programs with any partisan or nonpartisan political activity or any political activity associated with a candidate, or contending faction or group, in an election for public or party office; any activity to provide voters or prospective voters with transportation to the polls or similar assistance with any such election, or any voter registration activity. ['678F(b)]
- (18) To ensure that no person shall, on the basis of race, color, national origin or sex be excluded from participation in, be denied the benefits of, or be subjected to discrimination under, any program or activity funded in whole or in part with community services block grant program funds. Any prohibition against discrimination on the basis of age under the Age Discrimination Act of 1975 (42 U.S. C. 6101 et seq.) or the respect to an otherwise qualified individual with a disability as provided in Section 504 of the Rehabilitation Act of 19734 (29 U.S.C. 12131 et seq.) shall also apply to any such program or activity. ['678F(c)]

- (19) To consider religious organizations on the same basis as other non-governmental organizations to provide assistance under the program so long as the program is implemented in a manner consistent with the Establishment Clause of the first amendment to the Constitution; not to discriminate against an organization that provides assistance under or applies to provide assistance under the community services block grant program on the basis that the organization has a religious character; and not to require a religious organization to alter its form of internal government except as provided under Section 678B or to remove religious art, icons, scripture or other symbols in order to provide assistance under the community services block grant program. [679]

C. Other Administrative Certifications

The State also certifies the Following:

- (1) To provide assurances that cost and accounting standards of the Office of Management and Budget (OMB Circular A-110 and A-122 shall apply to a recipient of community services block grant program funds.
- (2) To comply with the requirements of Public Law 103-227, Part C Environmental Tobacco Smoke, also known as the Pro-Children Act of 1994, which requires that smoking not be permitted in any portion of any indoor facility owned or leased or contracted for by an entity and used routinely or regularly for the provision of health, day care, education, or library services to children under the age of 18 if the services are funded by a Federal grant, contract, loan or loan guarantee. The State further agrees that it will require the language of this certification be included in any sub-awards, which contain provisions for children's services and that all sub-grantees shall certify accordingly.

Sidonie Squier

Sidonie Squier, Secretary
State of New Mexico Human Services Department

8/17/11

Date

V. The Narrative State Plan

A. Administrative Structure

(1) State Administrative Agency

Under New Mexico's Community Action Act, the New Mexico Human Services Department is the designated agency responsible for the provision of CSBG funds to Community Action Agencies (CAAs) in the State. Within the Human Services Department the CSBG program is administered by the Income Support Division's Work and Family Support Bureau.

The Human Services Department (HSD) Secretary is Sidonie Squier. The Income Support Division (ISD) Acting Director is Ted Roth. The Work and Family Support Bureau (WFSB) Acting Chief is Nicole Taylor (the State CSBG Director).

(a) Outline the mission and responsibilities of the lead agency designated to administer the State's community services block grant program.

The New Mexico Human Services Department (HSD) manages the state and federal funds that provide life's most basic services to many New Mexican individuals and families—touching the lives of one in three New Mexicans with food, access to health care, income, work, energy assistance and community services to New Mexicans who desperately need help in these areas.

HSD is the fifth largest state agency with 1,700 employees in 53 office locations statewide. The Department is organized into seven areas led and directed by the Office of the Secretary (OOS); Office of General Counsel (OGC); Behavioral Health Services Division (BHSD); Child Support Enforcement Division (CSED); Income Support Division (ISD); Medical Assistance Division (MAD); Information Technology Division (ITD); and the Administrative Services Division (ASD), which provides finance, accounting and property management support for HSD, the Office of Human Resources (OHR), and the Office of Inspector General (OIG) providing audit, investigations, restitutions services and fair hearings for the department.

The New Mexico HSD's mission is to reduce the impact of poverty on people living in New Mexico by providing support services that help families break the cycle of dependency on public assistance.

(b) Goals and Objectives: Outline the goals and objectives of the lead agency that administers the State's community services block grant program.

HSD's goals reflect its commitment to providing the best service possible to our clients through three core values: *Access, Quality and Accountability*.

Access

The Department strives for access to support and services for New Mexicans to move toward self-sufficiency in life.

Quality

The Department commits to quality by providing services in a respectful manner and services that produce results.

Accountability

The Department engages in accountability to all of our customers (clients, employees, the public, and taxpayers) through monitoring, careful explanations, and correct decisions.

Together, these values represent our fundamental goals, expectations, and vision for the programs we administer.

The goals and objectives of ISD's Work and Family Support Bureau (WFSB) are to:

- Ensure community action agencies:
 - (a) provide access to a wide range of services and activities that have a measurable and potential major impact on the causes of poverty in the communities and/or areas served (especially where poverty is a particularly acute problem).
 - (b) provide programs and activities that relate to the needs of low-income individuals and families in the communities they serve.
 - (c) comply with all federal and state regulations.
 - (d) report Results Oriented Management Accountability (ROMA) on all programs, activities, and funding sources.

- Continue to provide training and technical assistance for the following:
 - (a) Board of Directors' fiduciary responsibilities
 - (b) Client Track data collection system
 - (c) CSBG Information System (IS) National Association for State Community Services Program (NASCS) federal reporting requirements
 - (d) financial tracking/reporting and fiscal management
 - (e) reporting requirements
 - (f) assist a CAA that is in crisis or vulnerable--has had findings and/or deficiencies reported.
 - (g) corrective action plans

- Establish standards for the ROMA/National Performance Indicator reporting and compliance as mandated by federal regulation. HSD will continue its efforts to improve and enhance ROMA reporting.

- Continue to work with the CAAs to make the best use of the state's resources.

- Continue to help build and support strong and effective CAAs in the state of New Mexico.

(2) Eligible Entities:

(a) Provide a list of eligible entities:

Community Services Block Grant Eligible Entities:

Community Action Agency of Southern New Mexico (CAASNМ)

Executive Director: Dawn Hommer

3880 Foothills Road, Suite A

Las Cruces, NM 88011

Tele #: (575) 527-8799/ Fax #: (575) 527-9028

Tele #: 1-800-657-8967

www.caasnm.org

Counties: Dona Ana, Grant, Hidalgo, Luna, Sierra

Eastern Plains Community Action Agency (EPCAA)

Executive Director: Dora Pacheco

PO Box 1244 / 210 West Center

Tucumcari, NM 88401

Tele #: (575) 461-1914/ Fax #: (575) 461-1930

www.epcaa.org

Counties: Curry, DeBaca, Guadalupe, Harding, Quay, Roosevelt, Union

Economic Council Helping Others, Inc. (ECHO)

Executive Director: Sara Kaynor

1921 E. Murray Drive

Farmington, NM 87401

Tele #: (505) 325-7466/ Fax #: (505) 326-5025

www.echoinc.org

Counties: San Juan

HELP-New Mexico (HELP NM)

Executive Director: John Martinez

5101 Copper NE

Albuquerque, NM 87108

Tele #: (505) 265-3717/ Fax #: (505) 265-5412

www.helpnm.com

Counties: Bernalillo, Colfax, Los Alamos, Mora, Rio Arriba, San Miguel, Santa Fe, Sandoval, Taos, Torrance

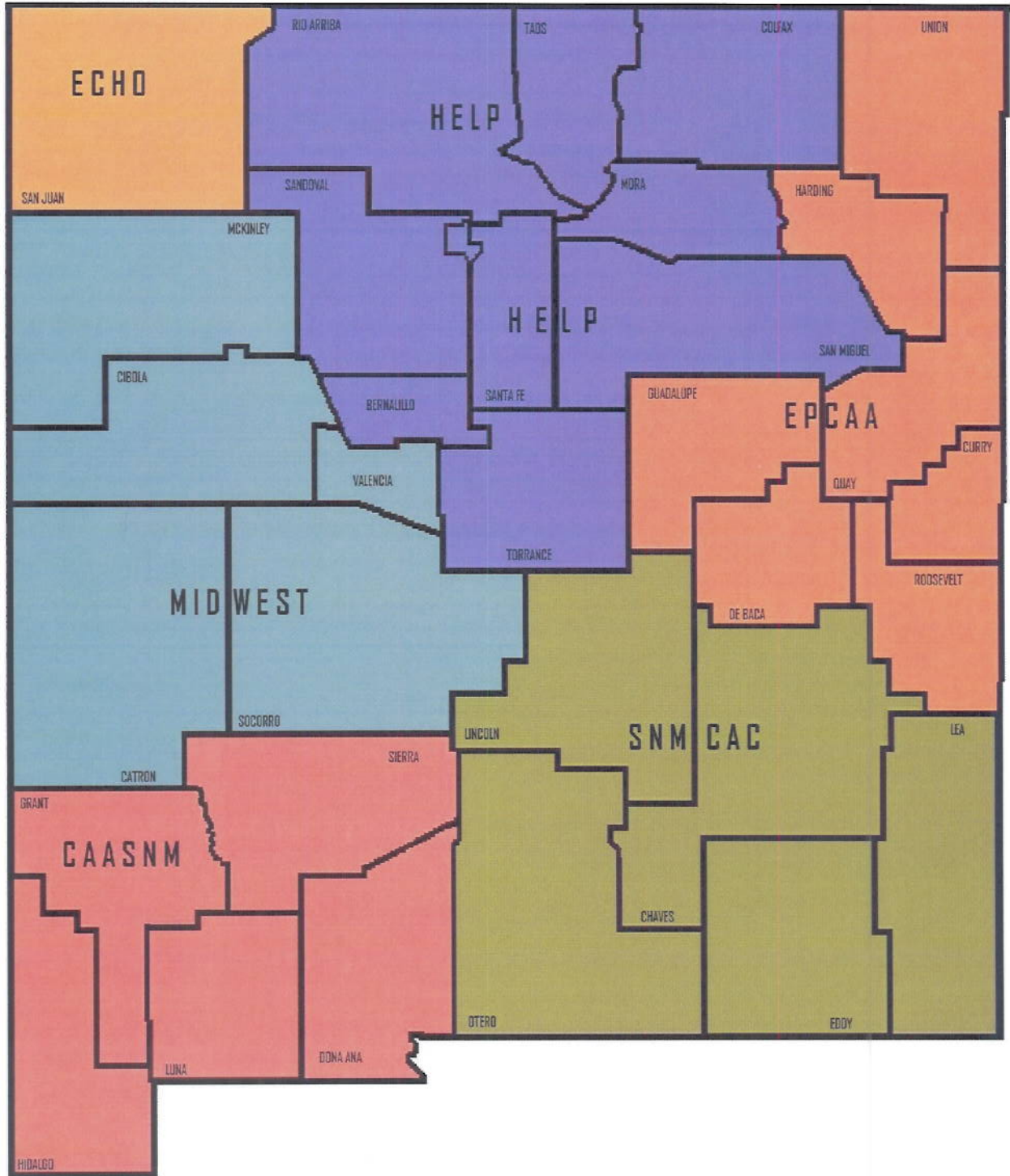
State-wide CSBG Migrant Program

Mid-West New Mexico Community Action Program
Executive Director: Bill Silva
549 Don Pasqual Road
Los Lunas, NM 87103
Tele #: (505) 866-0466/ Fax #: (505) 865-1506
www.midwestnmcap.org
Counties: Catron, Cibola, McKinley, Socorro, Valencia

Southeast New Mexico Community Action Corporation (SNMCAC)
Executive Director: Sherra Hester
1915 San Jose Blvd.
Carlsbad, NM 88220
Tele #: (575) 887-3939/ Fax #: (505) 887-6357
www.snmcac.org
Counties: Chaves, Eddy, Lea, Lincoln, Otero

(b) Show geographic areas served.

The following is a color map of the State divided by counties serviced by each eligible entity.



(3) Distribution and Allocation of Funds

(a) Planned Distribution of Funds for Current Fiscal Year

HSD allocates no less than 90% of the anticipated grant award for the program year to the CSBG agencies to use for the purposes outlined in the COATES Act. Projected funding amounts are specified based upon an administrative award of fifty thousand dollars (\$50,000) to each of the CSBG agencies and a pro-rata distribution of funds based upon county poverty population as listed in the 2007 poverty figures (Census data). The total of these administrative awards and the pro-rata distribution equals ninety percent (90%) of the anticipated award from the U.S. Department of Health and Human Services.

Allocation for FY 2012 and FY 2013 is not known, however, HSD is using a projection of three million, eight hundred fifty-three thousand, and five hundred and fifty dollars (\$3,853,550.00) which is based on the funding for FY 2011. HSD will distribute in excess of 90% of the funds to the eligible CAAs, or three million, five hundred seventy one thousand, seven hundred fifty-six dollars (\$3,571,756.00). WFSB will use the base and formula allocation methodology as follows:

1. A minimum floor for funding has been established at \$50,000. A base allocation of fifty thousand dollars (\$50,000) is made to each of the CAAs.
2. WFSB has, in the past allocated seventy nine thousand, five hundred and fifteen dollars (\$79,515) to HELP New Mexico, one of the CSBG entities, to provide statewide services to seasonal and migrant farm workers. That amount will again be allocated but will be reviewed and reconsidered after some additional information has been gathered during the federal fiscal year.
3. The balance of the 90%+ of the projected award, which is three million, one hundred ninety-two thousand, two hundred and forty-one dollars (\$3,192,241) is allocated by county based upon poverty population. The Department will use the 2007 U.S. Census Small Area Income and Poverty data for the FFY 12 and FFY 13 program years. (Note: The allocation formula may be modified if current poverty statistics are available.) The allocation by county is as follows:

<u>County</u>	<u>% of Poverty 2007</u>	<u>Amount</u>
Bernalillo	26.87	\$857,760
Catron	0.21	\$ 6,569
Chaves	3.60	\$114,928
Cibola	1.81	\$ 57,663
Colfax	0.64	\$ 20,402
Curry	2.37	\$ 75,579
DeBaca	0.10	\$ 3,043
Dona Ana	13.37	\$426,857
Eddy	2.34	\$ 74,791
Grant	1.49	\$ 47,550

Guadalupe	0.29	\$ 9,102
Harding	0.03	\$ 900
Hidalgo	0.34	\$ 10,800
Lea	3.02	\$ 96,529
Lincoln	0.83	\$ 26,610
Los Alamos	0.17	\$ 5,344
Luna	2.51	\$ 80,283
McKinley	5.34	\$170,476
Mora	0.33	\$ 10,493
Otero	3.60	\$114,983
Quay	0.60	\$ 19,085
Rio Arriba	2.49	\$ 79,393
Roosevelt	1.26	\$ 40,128
Sandoval	3.50	\$111,857
San Juan	6.48	\$206,753
San Miguel	2.19	\$ 62,701
Santa Fe	6.11	\$194,933
Sierra	0.83	\$ 26,600
Socorro	1.54	\$ 49,072
Taos	1.60	\$ 51,206
Torrance	1.05	\$ 33,596
Union	0.18	\$ 5,864
Valencia	3.14	\$100,389

The agencies serving these counties will have the specific county-based allocations added to the administrative grants as described above.

A copy of the updated distribution, by county, will be distributed to all persons who request a copy of it.

B. Description of Criteria and Distribution Formula

a) Describe criteria and distribution formula for allocation of CSBG funds to eligible entities:

See above for Distribution Formula. The balance of funds is distributed on a pro-rata basis according to the county poverty population as listed in the 2007 census information. The total of these administrative awards and the pro-rata distribution equals ninety percent plus (90%+) of the anticipated award from the U.S. Department of Health and Human Services.

Sole source contracts are implemented with all of the eligible entities that submit the documentation required by the application process. The sum total of these contracts will equal ninety percent plus (90%+) of the anticipated grant award from the Department of Health and Human Services for FFY 12 and FFY 13. In the event that the grant of award is greater than the amount projected in the application package, the

contracts will be amended on a pro-rata basis to ensure that no less than ninety percent (90%) of the actual grant award is distributed to all eligible entities that complete the application process.

In the event that the grant of award is less than the projected amount, contracts will be amended to decrease the amounts awarded to each CSBG agency. Any decrease will continue to ensure a ninety percent (90%) distribution of funds to the eligible agencies.

b) Describe limitations on funding and procedures for use of carry-over balances:

According to the (US Department of Health and Human Services, ACF, Office of Community Services—Division of State Assistance) Information Memorandum, Transmittal No. 00-2004 it states, “ The Purpose of the Information Memorandum is to transmit FY 2005 appropriation language which mandates the manner in which States must handle carryover funds. P.L. 108-447 mandates, that to the extent Community Services Block grant funds are distributed as grant funds by a State to an eligible entity as provided under the (CSBG) Act, and have not been expended by such entity, they shall remain with such entity for carryover into the next fiscal year for expenditures by such entity consistent with program purposes.”

HSD shall require all eligible entities with carryover funding to submit a Scope of Work and a line item expenditure budget. The Scope of Work will detail a description of program service(s), program objective(s), measurements from Results Oriented Management Accountability (ROMA) and the National Performance Indicators, and expected outcomes.

C. Description of Distribution and Use of Restricted Funds

Show the planned distribution of restricted funds allocated under Section 675C(a) of the Act to eligible entities and provide a description of how funds will be used by eligible entities to further the stated purposes of the CSBG for the fiscal year or years covered by this plan. Beginning with FY 2000, identify and describe instances where funds have been recaptured and redistributed, as allowed under Section 675C(a)(3) of the Act.

HSD implements the Community Services Block Grant by awarding contracts to designated CAAs in the State. CAAs are required to submit an application packet annually that details the agency’s goal and objectives for the program year that meet the criteria under Section 675C (a) of the Act. The CAA application package contains the following information:

- A signed application. The Executive Director and the Board of Directors’ Chairperson must sign the application.

- A detailed line item budget showing all projected costs to be charged to the CSBG grant. The line item description is based on the New Mexico's Department of Finance and Administration--Central Accounting System Chart of Accounts.
- Budget Justification: An explanation for each line item in the CSBG grant budget. In general, it justifies the expenditures charged to the grant in relationship to the goals, objectives and activities outlined.
- Administrative Cost Report (IRS 990)
- Community Action Plan: This plan serves several purposes: The plan is required by the assurances signed by the Secretary. The plan provides the Board of Directors and the Executive Director with the basis for monitoring the agency's success in their efforts in the community. The plan outlines the linkages and cooperative efforts between the agency and other public and private organizations in the community addressing the goals of CSBG and ROMA/National Performance Indicators outcomes.
- Client Eligibility Criteria and Application Process/Procedures: A description on how client eligibility is determined. The criteria should explain how clients with "special" needs are served (disabled, homebound, homeless, etc.).
- CSBG Outcome Plan Form/Scope of Work: Describes the agency's goals and objectives based on ROMA/National Performance Indicators. The agency provides the statement of problem for the service area, the direct measurement from ROMA/ National Indicators to be tracked, the program service (employment, education, emergency, health, housing, self-sufficiency, nutrition, income management, and linkages), program objective, the type of unit (individuals, households, meals, partnerships, etc.) and the number expected to achieve the outcome.
- The agency's affirmative action plan/nondiscrimination disclaimer.
- Organizational Chart: The organizational chart shows positions, chain of command, and programs of the agency.
- Letter from the IRS granting the 501(c) (3) status.
- Board of Directors Roster that contains the home addresses of all board members, appointment date, length of service, and the sector they represent (public, low income, or private).
- The agency's Bylaws and Articles of Incorporation.
- The agency's projected schedule for board meetings for the contract year.

The agencies report activities that describe how funds will be used to meet the criteria under Section 675C (a) of the Act through the Community Action Plan and the Scope of Work.

Activities include:

- Employment Initiatives: On the Job Training, employment training, job placement, self-employment, business development, career development, employment counseling, and support services (e.g. purchase of work

clothes/uniforms, employment licensing fees, tools, fees for medical testing, transportation assistance, etc).

- Education Initiatives: vocational training, post-secondary, pre-employment certification training, ABE/GED, tuition fees, school supplies, classroom related services (uniforms and tools), Head Start, Pre-K program, private pre-school with sliding fee scale, before and after school programs, and dissemination of educational and training materials.
- Income Management: Free tax preparation services (Earned Income Tax Credit), Individual Development Account (IDA), financial counseling and financial literacy classes, home ownership classes, and assistance with affordable financing to build homes.
- Housing Initiative: rehabilitation and weatherization, housing services, construction of new homes, assisting families to qualify for low-interest mortgages, and energy saving initiatives.
- Emergency Services: emergency rental and mortgage assistance, utility assistance (electric, gas, water, propane, and wood), heating and cooling assistance (portable heaters and coolers), emergency medical assistance (prescriptions, co-payments for doctor, dental, and eye appointments, and eye glasses), emergency food boxes and food vouchers, protection from violence (information and referral), and transportation assistance (vehicle repair, bus tickets).
- Nutrition: food bank, food pantries, food boxes, children and senior meals, summer food program, Child and Adult Care Food program, child food backpack program, delivery of food boxes to homebound seniors and disabled individuals, and distribution of nutrition/preparation information.
- Linkages: CAAs have established partnerships with a number of organizations (both public and private) statewide to expand resources and opportunities for low-income individuals and families. The partnerships include the following:
 - a. Formal arrangements: memoranda of understanding or service contracts between one or more service providers to coordinate referrals and exchange program participants.
 - b. Financial agreements for the delivery of services.
 - c. Informal arrangements: Informal working relationships with service providers that expand service opportunities for low-income individuals and families. This includes routine service and referral and follow-up contacts.
 - d. Alliances with other organizations that advocate for expanded services or community opportunities for low-income people.

- Self-Sufficiency: case management services, employability plans, financial counseling and budgeting, childcare services, employment and training services, Head Start—parenting classes.
- Health: Adult Day Services, senior services (e.g., foster grandparent companion service, housekeeping services and transportation), Covering Kids program, and Head Start—children immunization, medical and dental check-ups, information and referral to HSD medical assistance programs.

D. Description of Distribution and Use of Discretionary Funds

Show how the State plans to use discretionary funds made available from the remainder of the grant, as described in Section 675C(b) of the Act, (excluding administration) for the fiscal year or years covered by this plan. Include a description of how the State will support innovative community and neighborhood-based initiatives.

5% Discretionary -The State of New Mexico sets aside no more than 5% of CSBG funds in accordance with the following section of the COATES Act: Sec. 675C(b)(1)

(1) Use of Remainder—If a State uses less than 100 percent of the grant or allotment received under section 675A or 675B to make grants under subsection (a), the State shall use the remainder of the grant or allotment under section 675A or 675B (subject to paragraph (2)) for that may include—

- (A) providing training and technical assistance to those entities in need of such training and assistance;*
- (B) coordinating State-operated programs and services, and at the option of the State, locally-operated program and services, targeted to low-income children and families with services provided by eligible entities and other organizations funded under this subtitle, including detailing appropriate employees of State or local agencies to entities funded under this subtitle, to ensure increased access to services provided by such State or local agencies;*
- (C) supporting statewide coordination and communication among eligible entities;*
- (D) analyzing the distribution of funds made available under this subtitle within the State to determine if such funds have been targeted to the areas of greatest need;*
- (E) supporting asset-building programs for low-income individuals, such as programs supporting individuals development accounts;*
- (F) supporting innovative programs and activities conducted by community action agencies or other neighborhood-based organizations to eliminate poverty, promote self-sufficiency and promote community revitalization;*

- (G) supporting State charity tax credits as described in subsection (c);
and
(H) supporting other activities, consistent with the purposes of the
subtitle.*

Priority for discretionary funds will be given to those requests that provide new and innovative direct services programs for low-income children and adults and are consistent with the priorities listed on pages 34-35. These priorities include employment and education initiatives, income management, housing, self-sufficiency, nutrition, and emergency services. Other examples of discretionary requests might include training and technical assistance, capacity building, support for an asset-building program, and activities that are within guidelines of the federal regulation.

1. WFSB has established a review process for requesting discretionary funds: Requests for discretionary money will be backed by an explanation of the need and cost proposals, and the appropriate COATES Act section will be referenced in the request.
2. Requests will be made via mail, e-mail or fax to the CSBG Program Manager (PM). The WFSB Bureau Chief will make the final recommendation and the Income Support Division Director will make the final decision.
3. The requesting agency will receive notice of approval or denial within 30 working days of the receipt of their request by WFSB. If the request is denied the business reason for the denial will be provided to the agency.

E. Description of Use of Administrative Funds

Section 675(b)(2) of the Act specifies that no State may use more than the greater of \$55,000, or 5 percent of its grant or allotment for administrative expenses, including monitoring activities. Describe and provide a breakdown of planned State administrative expenses for the fiscal year or years covered by this plan. Specify use of CSBG funds for the State's Charity Tax Credit Program, if applicable.

In planning the budget and corresponding cost centers for the implementation of CSBG for the program year, HSD develops its administrative budget based upon five percent (5%) of the anticipated grant award from the U.S. Department of Health and Human Services. In the event that the actual award is different from the anticipated amount, the administrative budget will be adjusted up or down so that it remains within the five percent (5%) limit allowed under the COATES Act for administrative expenses at the state level.

The majority of the 5% allowed for State administrative expenses is used for salaries and benefits for employees involved with administering the CSBG funds. The administrative duties include but are not limited to the following:

- ◆ Participate in the contractual process with entities entering into agreements with the Human Services Department/ISD/Work and Family Support Bureau.
- ◆ Develop, prepare, and review professional services agreements, sole source agreements, memoranda of understanding, and/or request for proposals, as appropriate, to procure services for the WFSB.
- ◆ Preparation of the state plan and amendment(s) to the plan. Conduct a public hearing, and/or legislative hearing.
- ◆ Draft, prepare, implement, and update the policy and procedures manual that reflects the intent of program regulations.
- ◆ Ensure that all contracts, agreements, invoices, correspondences, and program packets between the state agency/bureau and the agencies or other organizations are completed.
- ◆ Monitor and review agencies for program compliance.
- ◆ Work with the agencies on problem resolution and corrective action.
- ◆ Keep apprised of all federal and/or state regulations.
- ◆ Review and comment on pending federal legislation.
- ◆ Analyze, clarify and interpret federal and/or state regulations for this program.
- ◆ Promulgation of rules through state procedures when required.
- ◆ Develop, prepare, review, and analyze all forms and communication between the recipient agencies/other organizations and the bureau to ensure that all organizations have access to program information in a clear and up-to-date format.
- ◆ Oversight responsibility for entitlement tracking--work closely with the fiscal managers on the tracking of the grant of award.
- ◆ Review requests for discretionary funds. Make recommendation regarding each request. In addition, track the distribution of discretionary funds.
- ◆ Review and approve monthly expenditure reports. Review the agencies' single annual audit.
- ◆ Provide training and technical assistance to the CAAs and their staffs with regard to ROMA/ National Performance Indicators, Scope of Work, Client-Track, NASCSP/CSBG IS reporting, fiscal management, etc.
- ◆ Review monthly CSBG program reports.
- ◆ Compile, edit and submit the annual NASCSP/CSBG IS federal report.
- ◆ Communicate with other states' program staffs regarding the practices and procedures from those states for shared programs.
- ◆ Communicate with Shah Software regarding the Client-Track data collection system.
- ◆ Communicate with federal and association offices: Office of Community Services, National Association for State Community Services Programs, Head Start State Collaboration Office, and Regional Office.
- ◆ Attend CSBG meetings and conferences.

F. State Community Services Program Implementation

(1) Program Overview: Describe the following using information provided to the State by eligible entities, as required under Section 676(b)(2) of the Act:

(a) Service Delivery System: A description of the service delivery system for services provided or coordinated with funds made available through grants made to eligible entities with restricted funds, targeted to low-income individuals and families in communities within the State. Include a description of the geographical area served and a listing of eligible entities (grantees) and service areas.

The service delivery system in New Mexico covers the entire state. The contract entered into between HSD and each CAA contains a detailed Scope of Work that describes the agency's goals and objectives based on ROMA and the National Performance Indicators. The agency provides the statement of problem for the service area, the direct measurement from ROMA and National Indicators to be tracked, the program service (education, health, nutrition, income management, etc), program objective, type of unit (individuals, households, meals, partnerships, etc.), and the number expected to achieve the outcome. Clients and activities are quantified and specific dates for the achievement of each activity are stated.

CSBG federal funding available to CAAs in New Mexico for 2011 was approximately \$3.56 million for 33 counties--shared among the eligible CAAs. Poverty percentage is based on the US Census 2007 poverty statistics. The service delivery area is as follows:

- Community Action Agency of Southern New Mexico serves five counties:

County:	Poverty%:	Geographic Area:
Dona Ana	13%	Urban area/rural
Grant	1.5%	Rural
Hidalgo	0.3%	Rural
Luna	2.5%	Rural
Sierra	0.8%	Rural

- Eastern Plains Community Action Agency serves seven counties:

County:	Poverty %:	Geographic Area:
Curry	2.4%	Rural
DeBaca	0.1%	Rural
Guadalupe	0.3%	Rural
Harding	.03%	Rural
Quay	0.6%	Rural
Roosevelt	1.3%	Rural
Union	0.2%	Rural

- Economic Council Helping Others, Inc. (ECHO) serves one county:

County:	Poverty %:	Geographic Area:
San Juan County	6.5%	Rural/tribal

- HELP New Mexico serves ten counties:

County:	Poverty %:	Geographic Area:
Bernalillo	26.9%	Urban/tribal
Colfax	0.6%	Rural
Los Alamos	0.2%	Urban
Mora	0.3%	Rural
Rio Arriba	2.5%	Rural/tribal
San Miguel	2%	Rural
Sandoval	3.5%	Urban/rural/tribal
Santa Fe	6%	Urban/rural/tribal
Taos	2%	Rural/tribal
Torrance	1%	Rural

In addition, HELP New Mexico serves the migrant/seasonal farm worker population statewide.

- Mid-West Community Action Program serves five counties:

County:	Poverty %:	Geographic Area:
Catron	0.2%	Rural
Cibola	1.8%	Rural/tribal
McKinley	5%	Rural/tribal
Socorro	1.5%	Rural
Valencia	3%	Rural/tribal
- Southeast New Mexico Community Action Corporation serves five counties:

County:	Poverty %:	Geographic Area:
Chaves	3.6%	Urban/rural
Eddy	2%	Rural
Lea	3%	Rural
Lincoln	.8%	Rural
Otero	3.6%	Rural/Tribal

(b) Linkages: A description of how linkages will be developed by local entities to fill identified gaps in services, through the provision of information, referrals, case management, and follow up consultations.

CAAs have established partnerships with a number of organizations (both public and private) statewide to expand resources and opportunities for low-income individuals and families. The partnerships include the following:

- Formal arrangements: memoranda of understanding or service contracts between one or more service providers to coordinate referrals and exchange program participants.

- Financial agreements for the delivery of services.
- Informal arrangements: Informal working relationships with service providers that expand service opportunities for low-income individuals and families. This includes routine service and referral and follow-up contacts.
- Alliances with other organizations that advocate for expanded services or community opportunities for low-income people.

For FFY 2012 and 2013 the CAAs will provide the number of organizations, both public and private, that they actively work with to promote family and community outcomes. These organizational partnerships include:

- Non-Profit
- Faith Based
- Local Government
- State Government
- Federal Government
- For-Profit Business/Corporation
- Consortiums/Collaborations
- Housing Consortiums/Collaborations
- School Districts
- Institutions of post secondary education/training
- Financial/Banking Institutions
- Health Services Institutions
- Statewide Associations / Collaborations
- National Associations/Collaborations

According to the 2010 CSBG IS /NASCSP report, CAAs established 2,558 partnerships statewide to expand resources and opportunities to low-income individuals and families.

Examples of partnerships: Human Services Department; Department of Children Youth and Families; Department of Work Force Solution; Mortgage Finance Authority; US Department Housing and Urban Development; Housing Authority; Department of Aging and Long Term Care; Department of Health; US Department of Labor; USDA; Head Start; faith based organizations—Salvation Army, Saint Vincent de Paul, and local churches; United Way; local government agencies; domestic violence shelters; private industry—Wal-Mart, Home Depot, local pharmacies, mortgage companies, utility companies, etc; educational institutions—University of New Mexico, Central New Mexico Community College, NM State University, NM Highlands University, public schools, etc.; Voices for Children; tribal governments; health care facilities; NM Project for Financial Literacy; New Mexico Partnership for Community Action; and many other organizations.

(c) Coordination with Other Public and Private Resources: A description of how funds made available through grants to eligible entities will be coordinated with other public and private resources.

In 2010, CAAs in New Mexico were able to serve 148,917 people with the coordination of CSBG funds and other public and private resources. CAAs mobilized \$51.5 million. The CAAs received \$40,165,078 in federal funds. This includes funding from the American Recovery and Reinvestment Act (ARRA), Department of Energy--Weatherization, LIHEAP-Weatherization, Head Start, Early Head Start, Older Americans Act, Assets For Independence, Compassion Capital Fund, Healthy Community Access Fund, Healthy Kids, USDA Non-Food Programs, USDA Food Programs, Community Development Block Grant, US Department of Housing and Urban Development, US Department of Labor--Employment and Training Programs, Corporation for National and Community Services Programs, and FEMA; \$2,880,669 in State funding was received for the following programs: nutrition, day care and early childhood, housing and homeless, health, youth development, State Head Start, seniors, education, and asset development; \$2,058,038 was received in local public funding, including the value of in-kind goods and services; and \$6,419,246 was received from private sources which included foundations, individual contributors, and donation of goods and services.

CAAs provide information regarding their coordination with other public and private resources through the Scope of Work and their annual year-end report.

(d) Innovative Community and Neighborhood-based Initiatives: A description of how local entities will use the funds to support innovative community and neighborhood-based initiatives related to the purposes of the CSBG, which may include fatherhood initiatives and other initiatives with the goal of strengthening families and encouraging effective parenting.

CAAs continue to strive to create and improve innovative programs that strengthen communities and families. Such initiatives include:

- **Community Action Agency of Southern New Mexico**
Community Action Agency of Southern New Mexico (CAASNМ) embedded the following counseling services into its free tax preparation program: small business development and Single Stop benefits screening. This innovative approach to tax preparation services will enable micro-business owners and self-employed low income people to meet with trained CAASNМ counselors. In addition, low income taxpayers can be screened for social benefits eligibility while waiting to complete their taxes.

The free tax preparation service will be staffed with CAASNМ employees and IRS certified tax preparer volunteers. Participants are offered the opportunity

to meet with a Single Stop benefits or a small business counselor.

The benefits counselor screens for eligibility for sixteen federal and state benefits such as the Supplemental Nutrition Assistance Program (SNAP), child care, Women, Infants and Children (WIC), Medicaid, Supplemental Security Income (SSI), and Social Security Disability Insurance (SSDI), etc.

The small business counselors provide information to self-employed individuals and micro business owners regarding employment/business expenses, gross receipts tax, expense classifications, taxes and penalties, etc. The counseling service helps self-employed individuals and micro business owners to retain earnings and helps them avoid tax penalties and fines.

- **Economic Council Helping Others (ECHO), Inc.**

ECHO's Home Ownership Problems Eliminated (HOPE) purpose is to assist families to purchase their own homes with affordable mortgages. The agency collaborates with numerous entities, such as, Homebuilders Associations, mortgage lenders, bankers, the affordable Housing Alliance, San Juan County, New Mexico Mortgage Finance Authority, Federal Home Loan Bank, Housing Assistance Council, HUD, USDA Rural Development, contractors, and realtors.

ECHO HOPE has developed homebuyer education classes; identified multiple sources of mortgages, subsidies and grants for homebuyers; counseled and qualified families; and identified and obtained, either through purchase or option, affordable land.

- **HELP New Mexico**

HELP New Mexico has implemented an energy efficiency and safety initiative. The program is funded in part through the Low Income Home Energy Assistance Program (LIHEAP)/Residential Energy Assistance Challenge (REACH) grant. The purpose of the program is to minimize health and safety risks, reduce home energy vulnerability through energy assistance, and increase the efficiency of energy usage for low-income families. HELP NM will serve four counties in northern New Mexico, targeting vulnerable households with disabled, elderly and/or young children.

HELP New Mexico will provide the following services and materials: energy audits and safety inspections; repair and maintenance assistance; assistance with bulk fuel purchases, such as propane, wood, and pellets; energy and safety information including energy saving booklets, a guide to home insulation, propane, wood stove and fireplace safety; and energy efficiency and weatherization kits.

- **Southeast New Mexico Community Action Corporation**

Southeast NM Community Action Corporation has been working with the community, city government, county government, and state legislators to

establish an Adult Day Care facility in Eddy County. The City of Carlsbad, Carlsbad Department of Development and the Carlsbad Chamber of Commerce have been working towards making Carlsbad a retirement location. It was determined that a senior complex facility was needed to attract economic development and growth to the area. A senior complex would help make the community more attractive to retirees wishing to relocate to Carlsbad. Through community input, it was determined that a consolidated senior complex which included a meal site, recreation facility, and the adult day care center would best serve the needs of the elderly residents in the community and attract retirees to the Carlsbad area.

Over \$1 million had to be raised for the construction of the facility. Southeast NM Community Action Corporation had to bring the right partners into the process. The involvement of community leaders helped make the project possible. The Carlsbad Department of Development donated a large parcel of expensive waterfront property adjacent to the Riverwalk area for the facility. The NM State Legislature and the Eddy County Commissioners designated funds towards the construction of a facility. The City of Artesia, Eddy County, the Chase Foundation, and the Yates Foundation contributed funding to assist with operational expenses. CSBG dollars are being utilized for administrative costs associated with the Adult Day Care program.

The facility will be constructed in phases. The Adult Day Care program is licensed to service up to 44 individuals that have been diagnosed with dementia or Alzheimer's. This program will allow families and caregivers an opportunity to have a safe, caring environment for their loved ones. The Adult Day Services is scheduled to be operational in 2011.

- (2) Community Needs Assessments: Describe how the State will comply with the following assurance in '676(b)(11): The State will secure from each eligible entity in the State, as a condition to receipt of funding by the entity, a community action plan (which shall be submitted to the Secretary, at the request of the Secretary, with the State plan) that includes a community-needs assessment for the community served, which may be coordinated with community-needs assessments conducted for other programs. Information describing how the State will carry out this assurance:**

CAAs are required to complete and submit an application packet to the state office prior to the implementation of a contract. One component of that application is the submission of a Community Action Plan. The Community Action Plan incorporates specific needs of the community from the Community Needs Assessment.

A Community Action Plan serves several purposes. It provides the basis for the application for funds. It provides a basis for both board and community monitoring and evaluation of the CSBG agency's performance in addressing the poverty-related problems of the community. It provides a basis for formal and informal linkages and

coordination between the entity and other public and private efforts to eliminate or alleviate poverty and its consequences in the community, and to encourage self-sufficiency.

In the contract between the state and the CAAs the Community Action Plan requirements are specifically noted. Funds will not be distributed to any agency until this plan is submitted and approved.

- (3) Tripartite Boards: Section 676B of the Act requires that, in order for a private non-profit entity or public organization to be considered to be an eligible entity for the purposes of the community services block grant program, it must administer the community services block grant program through a tripartite board or another mechanism specified by the State, whose members are chosen in accordance with democratic selection procedures to assure that not fewer than 1/3 of its members are representative of low-income individuals and families in the neighborhood served; reside in the neighborhood served; and are able to participate actively in the development, planning, implementation, and evaluation of the program to serve low-income communities. Describe State policies and procedures to ensure this requirement is met:**

As part of the requirements for completing the application for funds, each CAA must submit to WFSB a listing of its Board of Directors and the sector he/she represents. The list should include how long the board member has served in order to adhere to the board requirements of the NM Community Action Act. CAAs must also submit the process by which they ensure the selection of representatives of the low-income population is done in a democratic manner. In the event that the Board Roster or the Certifications do not indicate compliance with the Community Action Act, the eligible entity is required by contract to amend its board composition appropriately.

WFSB reviews and verifies the Board composition as part of the review of the CAAs' application packet, periodically during the contract period, and during the CSBG management evaluation. Corrective action plans are developed as needed to ensure ongoing compliance with this requirement.

- (4) State Charity Tax Program: If there is in effect under State law a charity tax credit program: (a) specify the amount of the contribution to the charity tax credit program from the community services block grant program; and (b) describe how the State will ensure that such funds will ensure that benefit only qualified charities that primarily assist poor individuals, as defined under Section 675C of the Act. Information describing how the State will carry out this requirement:**

Not applicable in the State of New Mexico.

(5) Programmatic Assurances

Describe how each of the assurances outlined in Section 676(b) of the CSBG Act will be carried out, as follows:

(a) Assurance '676(b)(1):

(1) To support activities that are designed to assist low-income families and individuals, including families and individuals receiving assistance under part A of title IV of the Social Security Act (42 U.S.C. 601 et seq.), homeless families and individuals, migrant or seasonal farmworkers, and elderly low-income individuals and families to enable the families and individuals to:

- (i) remove obstacles and solve problems that block the achievement of self-sufficiency (including self-sufficiency for families and individuals who are attempting to transition off a State program carried out under part A of title IV of the Social Security Act);**
- (ii) secure and retain meaningful employment;**
- (iii) attain an adequate education, with particular attention toward improving literacy skills of low-income families in the communities involved, which may include carrying out family literacy initiatives;**
- (iv) make better use of available income;**
- (v) obtain and maintain adequate housing and a suitable living environment;**
- (vi) obtain emergency assistance through loans, grants, or other means to meet immediate and urgent family and individual needs; and**
- (vii) achieve greater participation in the affairs of the communities involved, including the development of public and private grassroots partnerships with local law enforcement agencies, local housing authorities, private foundations, and other public and private partners to document best practices based on successful grassroots intervention in urban areas, to develop methodologies for widespread replication; and strengthen and improve relationships with local law enforcement agencies, which may include participation in activities such as neighborhood or community policing efforts.**

(2) To address the needs of youth in low-income communities through youth development programs that support the primary role of the family, give priority to the prevention of youth problems and crime, and promote increased community coordination and collaboration in meeting the needs of youth, and support development and expansion of innovative community-based youth development programs that have demonstrated success in preventing or reducing youth crime, such as programs for the establishment of violence-free zones that would involve youth development and intervention models (such as models involving youth mediation, youth mentoring, life skills training, job creation, and entrepreneurship programs); and after-school child care programs; and

(3) To make more effective use of, and to coordinate with, other programs (including State welfare reform efforts).

WFSB implements CSBG by entering into contracts with the eligible entities designated as CAAs in the State. CAAs are required to submit an application packet outlining how they will conduct the specific activities listed above under (a) Assurance '676(b)(1), (2) and (3). WFSB will continue to monitor CAAs to ensure that they are carrying out the above assurance.

The agencies report activities that describe how funds will be used to meet the criteria under Section 676(b) of the Act through the Community Action Plan and the Scope of Work.

Activities include:

- Employment Initiatives: On the Job Training, employment training, job placement, self-employment, business development, career development, employment counseling, and support services (e.g. purchase of work clothes/uniforms, employment licensing fees, tools, fees for medical testing, transportation assistance, employment information and referrals, etc).
- Education Initiatives: vocational training, post-secondary, pre-employment certification training, ABE/GED, tuition fees, school supplies, classroom related service (uniforms and tools), Head Start, Pre-K program, private pre-school with sliding fee scale, before and after school programs, and dissemination of educational and training materials and education/training referrals.
- Income Management: Free tax preparation services (Earned Income Tax Credit), Individual Development Account (IDA), financial counseling and financial literacy classes, and assistance with affordable financing to build homes.
- Housing Initiative: rehabilitation and weatherization, housing services, construction of new homes, assisting families to qualify for low-interest mortgages, energy saving initiatives, information and referrals to housing programs/resources.
- Emergency Services: emergency rental and mortgage assistance, utility assistance (electric, gas, water, propane, and wood), heating and cooling assistance (portable heaters and coolers), emergency medical assistance (prescriptions, co-payments for doctor, dental, and eye appointments, and eye glasses), emergency food boxes and food vouchers, protection from violence (information and referral), transportation assistance (vehicle repair, bus tickets), and emergency information and referrals.

- Nutrition: food bank, food pantries, food boxes, children and senior meals, summer food program, Child and Adult Care Food program, Commodity Supplemental Food Program, The Emergency Food Assistance Program, child food back-pack program, delivery of food boxes to homebound seniors and disabled individuals, information and referrals to other food/nutrition programs.
- Self-Sufficiency: case management services, employability plans, financial counseling and budgeting, childcare services, employment and training services, Head Start—parenting classes.
- Health: Adult Day Service, Covering Kids program, and Head Start—children immunization, medical and dental check-ups, information and referral to HSD medical assistance programs, and other medical information and referrals.
- Linkages: CAAs will provide the number of organizations, both public and private that they actively work with to promote family and community outcomes. These linkages also include information and referrals, Single Stop, and One Stop Centers.

(b) Assurance ‘676(b)(4): Eligible entities in the State will provide, on an emergency basis, for the provision of such supplies and services, nutritious foods, and related services, as may be necessary to counteract conditions of starvation and malnutrition among low-income individuals.

The CAAs in New Mexico provide emergency assistance as mandated in the COATES Act. Emergency services include the following: emergency rental and mortgage assistance, utility assistance (electric, gas, water, propane, and wood), heating and cooling assistance (portable heaters and coolers), emergency medical assistance (prescriptions, co-payments for doctor, dental, and eye appointments, and eye glasses), emergency food boxes and food vouchers, protection from violence (information and referral), and transportation assistance (vehicle repair, bus tickets). In addition, some of the agencies receive The Emergency Food Assistance Program (TEFAP) commodities and have pantries and/or food banks associated with their community based organizations. By combining these programs and utilizing the CSBG agencies throughout the State, we are able to provide services to clients in some of the most remote areas in New Mexico, to overcome food insecurity and deprivation.

(c) State Assurance ‘676(b)(5): and the eligible entities in the State will coordinate, and establish linkages between, governmental and other social services programs to assure the effective delivery of such services to low-income individuals and to avoid duplication of such services, and State and the eligible entities will coordinate the provision of employment and training activities in the State and in communities with entities providing activities through statewide and

local workforce investment systems under the Workforce Investment Act of 1998.

HSD will continue to work with the Mortgage Finance Authority, Department of Health, Department of Workforce Solutions, Department of Children, Youth and Families, and other organizations and agencies to address shared concerns and goals for providing assistance to low-income citizens of the state.

CAAs have established partnerships with numerous organizations (both public and private) statewide to expand resources and opportunities for low-income individuals and families in their communities. WFSB requires that each CAA take an active role as a leader in local community coalitions of service providers. Partnership information is required in the annual application for funds, year-end report, and is reviewed during the monitoring visit.

HELP New Mexico is the only CAA in the state that receives Workforce Investment Act funding for twelve counties. In addition, they also carry out employment initiatives statewide through the National Farmworkers Jobs Program and the CSBG Migrant program.

(d) Assurance '676(b)(6): The State will ensure coordination between antipoverty programs in each community in the State, and ensure, where appropriate, that emergency energy crisis intervention programs under title XXVI (relating to low-income home energy assistance) are conducted in such communities.

HSD oversees the Low Income Home Energy Assistance Program (LIHEAP) in New Mexico. CAAs assist clients in completing applications, getting documentation necessary to be eligible for LIHEAP benefits, and actively support the program in NM. One of the CAAs also administers the Weatherization Assistance Programs (WAP) in its service area. WFSB and the CAAs strive to increase coordination and collaboration with other organizations and programs in order to better serve their shared clients.

(e) Assurance '676(b)(9): The State and eligible entities in the State will, to the maximum extent possible, coordinate programs with and form partnerships with other organizations serving low-income residents of the communities and members of the groups served by the State, including religious organizations, charitable groups, and community organizations.

HSD will continue to coordinate and consolidate programs, where possible. HSD has consolidated the Work and Family Support Bureau to include the Low Income Home Energy Assistance Program (LIHEAP), TANF New Mexico Works Program, Refugee Resettlement Program, and CSBG. HSD also administers TANF, Supplemental Nutrition Assistance Program (SNAP), Medicaid, State Coverage Insurance program, Child Support Enforcement, General Assistance, The Emergency Food Assistance Program (TEFAP), and USDA commodities for school breakfast/lunch program and Summer Food Program.

CAAs are required to continue to maintain partnerships with various community organizations, faith-based organizations, and other state agencies to ensure compliance with the Act. They have established partnerships with a number of organizations (both public and private) statewide to expand resources and opportunities for low-income individuals and families. These partnerships are done through formal arrangements, financial agreements, informal arrangements and alliances. Goal 4 from the National Performance Indicator (Partnerships among supporters and providers of services to low-income people are achieved.) is outlined in the Scope of Work. All eligible entities are required to report their listing of all partnerships.

G. Fiscal Controls and Monitoring

(1) State Program Monitoring: Describe the lead agency's plans for conducting the following reviews of eligible entities, as required under Section 678B(a) of the Act:

(a) a full onsite review of each such entity at least once during each 3-year period;

WFSB conducts a review of each CAA at least every two years (biennial). This visit includes whenever possible, attendance at a regularly scheduled board meeting of the agency. A full onsite review includes but is not limited to the following:

Administrative Review:

- Agency's Personnel Policy and Procedures
- Equal Opportunity Employer Certification (non-discrimination provision)
- Personnel files
- Submission of the agency's organizational chart
- Blanket fidelity bond coverage
- Certificate of insurance for comprehensive general liability
- Certificate of insurance for comprehensive Board liability
- IRS 990

Board of Directors:

- Tripartite membership requirement
- 15 membership requirement per New Mexico State Statute
- Term limits per State Statute
- Areas represented
- Article of Incorporation
- Board Bylaws
- Board's Responsibilities
- Board Minutes—review of financial statements, development of a Community Action Plan, approval on all program proposals and budgets, audit reports, evaluation of Executive Director, etc.
- Board training

Program Review:

- Community Action Plan
- Community Need Assessment
- Program Policy and Procedures—eligibility criteria
- Income Guidelines
- Non-discrimination disclaimer
- Informing the service area of the agency's programs and services
- Linkages—partnerships
- Scope of Work
- Program reports—demographic data, program/services data, ROMA/National Indicator tracking, NASCSP/CSBG IS annual report
- Client records
- Other funding sources' monitoring reports and resolutions

Fiscal Review:

- Financial Policy and Procedures
- Internal Controls
- General Ledger
- Expenditure Reports
- Cost Allocation Plan
- Chart of Accounts
- Actual versus budgeted expenditures
- Line of credit
- Check signing policy/authorized check signers/signature stamps
- Payroll
- Tracking of employees leave
- Accounts payable/receivable
- Procurements
- Property Management
- Petty Cash
- Time sheets
- Travel—per diem
- Cash disbursements/receipts
- Fixed assets
- Property inventory record
- Maintenance, repair and protection of property
- Annual agency audit

CAAs are required to respond to any findings or recommendation reported by the monitoring team. The agency shall submit a corrective action plan within 30 days of the review report.

(b) an onsite review of each newly designated entity immediately after the completion of the first year in which such entity receives funds through the community services block grant program;

New Mexico has no newly designated entities established since April 2000. WFSB conducts reviews for the community services block grant program according to federal regulations and on an as-needed basis.

(c) follow-up reviews including prompt return visits to eligible entities, and their programs, that fail to meet the goals, standards, and requirements established by the State;

CAAs that demonstrate the need for additional T & TA are given priority for the WFSB's staff and resources and visits are made as needed. We visit or contact troubled agencies approximately every 3 to 6 months, depending on their need.

(d) other reviews as appropriate, including reviews of entities with programs that have had other Federal, State or local grants (other than assistance provided under the CSBG program) terminated for cause.

HSD will request from the CAAs copies of their monitoring reports from their other funding sources. The CAAs will provide a copy of their corrective action plan if findings are reported. Training and technical assistance will be offered to CAAs needing assistance to ensure compliance.

WFSB will meet with the management and Board of Directors of any agency that has had its funding terminated by other funding sources due to cause. An assessment of the agency shall be conducted to identify the areas of concern and weaknesses. Technical assistance will be offered. If the agency fails to make improvements or comply with program requirement, HSD will revoke the agency's quarterly advance payments and place the agency in a monthly reimbursement status. HSD will make every effort to assist the agency with training and technical assistance. Close monitoring of the agency's progress will be conducted. HSD will follow the procedures outlined in the contract instrument and CSBG Policy and Procedures Manual to reduce or terminate funding for an agency that has failed to comply with program requirements.

(e) specify the date of the last audit conducted and the period covered by the audit for each eligible entity:

<u>Eligible Entity:</u>	<u>Date:</u>	<u>Period of Audit:</u>
Community Action Agency of Southern NM	01/06/11	OCT 2009-SEPT 2010
Eastern Plains Community Action Agency	09/09/10	JUL 2009-JUNE 2010
Economic Council Helping Others (ECHO), Inc.	02/14/11	OCT 2009-SEPT 2010
HELP-New Mexico	10/11/10	JUL 2009-JUN 2010
Mid-West Community Action Program	02/19/11	SEPT 2009-AUG 2010

(2) Corrective Action, Termination and Reduction of Funding: Describe the State's plan for complying with the requirements of Section 678C of the Act. (Section 678C of the Act requires states to comply with certain requirements in the event that the State determines that an eligible entity fails to comply with the terms of an agreement or the State plan, to provide services under the community services block grant program or to meet appropriate standards, goals, and other requirements established by the State, including performance objectives)

All actions relating to a reduction in funding or a termination of funding shall be governed by the COATES Act, the NM Community Action Act and the contract instrument for CSBG.

A. Notice of Reduction in Funding or Termination of funding:

If an entity has failed to comply with the legislative and administrative eligibility requirements, HSD will issue a Notice of Reduction in Funding or a Notice of Termination letter to the CAA's Executive Director and Board of Directors informing them of the failure or deficiency to be corrected, and requiring the agency to submit a Corrective Action Plan to address the failure or deficiency. HSD will offer help and technical assistance and give the agency sixty (60) days to correct the deficiency or failure. The letter will contain the specific cause(s) for this action.

B. Corrective Action Plan

The CAA shall develop and implement a quality improvement plan to correct the failure or deficiency and submit that plan to HSD within 60 days of the Notice of Reduction in Funding or Termination of Funding.

HSD will approve the plan or specify the reasons why the proposed plan cannot be approved within 30 days after receiving such a plan. If the plan is adequate to correct the failure or deficiency HSD will monitor the agency's progress in implementing the plan. If the plan is not submitted or is inadequate to correct the failure or deficiency, HSD will notify the CAA that the reduction in funding or termination of funding will proceed and will offer the CAA an opportunity for a hearing.

The WFSB notification shall include a date beyond which no CSBG funds may be expended by the CAA, or alternatively, other restrictions on CSBG expenditures as WFSB may require.

If the CAA requests a hearing HSD will contract with an Administrative Hearing Officer who is not an employee of HSD to chair the hearing and provide a recommendation to the HSD Secretary or Deputy Secretary within fifteen (15) days of the hearing. The HSD Secretary shall review the Administrative Hearing Officer's decision and make the final

determination. The HSD Secretary will send a letter to the CAA informing them of the action that will be taken by HSD according to the hearing results. All reduction and termination procedures will be done according to the COATES Act and the contract.

C. Decertification

If the contract between HSD and the CAA is terminated or expired due to the above process, HSD will request that the governor of the state revoke the agency's designation as a CAA in the State of New Mexico and as an agency eligible to receive CSBG funds. This request will be sent to the Governor by the HSD Secretary or Deputy Secretary.

The Decertification will be final upon written notice to the CAA of such action by the Governor or the Governor's designee.

(3) Fiscal Controls, Audits, and Withholding

**Describe the State's systems of fiscal controls, procedures, and plans for audits and inspections, as required under Sections 678D(a)(1) and 678D(a)(2) of the Act. (4)
Assurances:**

There are several activities and procedures that the state has implemented to ensure fiscal control and the proper disbursement of and accounting for CSBG funds. Among these systems is financial oversight by the Office of the Inspector General (OIG) of HSD. This section within HSD performs the audit and investigation functions for the Department. In addition, the Administrative Services Division (ASD) of HSD is responsible for the receipt, distribution and accounting of all federal and state funds received by the Department.

The WFSB of the Income Support Division is responsible for the development and implementation of the contracts with the agencies funded with CSBG monies. All payments made under this grant are reviewed by WFSB staff utilizing all applicable state and federal guidelines, rules, regulations and statutes.

WFSB staff has developed a CSBG policy and procedures manual for use by the state and the CAAs. This manual includes sections outlining all relevant fiscal and accounting requirements for the CSBG contracts, audit standards, all applicable Office of Management and Budget Circular requirements, and other related documents and information.

Utilizing a comprehensive checklist of financial and accounting procedures, WFSB will continue to monitor the fiscal operations of the funded agencies. Material weaknesses and concerns will be worked on with the CAAs for resolution. Training and technical assistance will be offered and provided for agencies that need additional fiscal assistance.

An audit is prepared by a qualified independent accounting firm each year. In addition, the eligible agencies receiving CSBG and other federal funds of more than \$500,000 have

an audit report prepared by an independent accounting firm. These audits follow the requirements outlined in OMB Circular A-133 and other applicable guidelines.

If a CAA is not required to procure services from an auditor, the State CSBG office will procure such services at no cost to the agency.

In the event that a CAA does not provide an audit report in accordance with the contractual arrangement, or in the event that the audit report does not express an opinion on the financial status of an agency, WFSB will take corrective measures with that agency. Corrective measures may include, but are not limited to:

- a) increased documentation and ongoing audits of expenses
- b) a special audit conducted by a certified public accountant hired by WFSB and reporting directly to WFSB
- c) training and technical assistance
- d) suspension of quarterly advance payments
- e) suspension of funds until fiscal compliance is achieved

In these circumstances WFSB will insure that services are continued to eligible clients and that the CSBG agency is afforded every opportunity to rectify its problems.

Describe how each of these assurances, outlined in Section 676(b) of the Act, will be carried out, as follows:

(a) The assurance ‘676(b)(7): The State will permit and cooperate with Federal investigations undertaken in accordance with section 678D of the Act.

The State will permit and cooperate to the fullest extent with any and all Federal investigations undertaken in accordance with the above-mentioned section of the Act.

(b) The assurance ‘676(b)(8): Any eligible entity in the State that received funding in the previous fiscal year through a community services block grant under the community services block grant program will not have its funding terminated or reduced below the proportional share of funding the entity received in the previous fiscal year unless, after providing notice and an opportunity for a hearing on the record, the State determines that cause exists for such termination or such reduction, subject to review by the Secretary as provided in Section 678C(b) of the Act.

If an eligible entity fails to meet or comply with the appropriate standards, goals, and other requirements specified in the COATES Act, the State Statute, or the contract, they shall be given a notice of reduction or termination and an opportunity for a hearing. Reduction or termination of funding policies is outlined in our CSBG Policy and Procedures Manual (copy attached in Section VI. Appendices, B.4).

- (c) **The assurance ‘676(b)(10): The State will require each eligible entity in the State to establish procedures under which a low-income individual, community organization, or religious organization, or representative of low-income individuals that considers its organization, or low-income individuals, to be inadequately represented on the board (or other mechanism) of the eligible entity to petition for adequate representation.**

The state requires each CAA to have written procedures on the democratic selection process for board representation of low-income persons. These procedures are a part of the application packet submitted annually.

H. Accountability and Reporting Requirements

- (1) **Results Oriented Management and Accountability: Describe how the State will comply with the following assurance, in ‘676(b)(12) of the Act: The State and all eligible entities in the State will, not later than fiscal year 2001, participate in the Results Oriented Management and Accountability System or another performance measure system for which the Secretary facilitated development pursuant to Section 678E(b) of the Act. (Include a description of outcome measures to be used to measure eligible entity performance in promoting self-sufficiency, family stability, and community revitalization) These measures must measure performance towards meeting the following stated National Goals of the Community Services Block Grant Program:)**

Goal 1: Low-income people become more self-sufficient (self-sufficiency)

Goal 2: The conditions in which low-income people live are improved (community revitalization).

Goal 3: Low-income people own a stake in their community.

Goal 4: Partnerships among supporters and providers of services to low-income people are achieved.

Goal 5: Agencies increase their capacity to achieve results.

Goal 6: Low-income people, especially vulnerable populations, achieve their potential by strengthening family and other supportive systems (family stability).

HSD implements CSBG by awarding sole-source contracts to designated CAAs in the State. The contracts contain a detailed Scope of Work that relates to appropriate ROMA/National Performance Indicators (NPIs). The Scopes of Work describe the agency’s program service(s), program objectives, the outcome measurements from ROMA/ NPIs, type of unit, and the number expected to achieve the outcome. CAAs are required to track and report ROMA/NPI outcome measurements. This information is compiled and submitted in their year-end report.

HSD collects, analyzes, and reports ROMA/NPI outcome measurements for the annual CSBG/IS. In addition, the Client Track data collection system was updated to include an NPI enrollment screen. This will allow the CAAs to capture the number of participants enrolled into an NPI and the number achieving the outcome measurement.

Based on the Scope of Work that relates to ROMA/National Performance Indicators the following are examples of measurements to be tracked and reported by CAAs:

Goal 1: Low-income people become more self-sufficient:

NI 1.1A: Unemployed and obtained a job.

NI 1.1B: Employed and maintained a job for at least 90 days.

NI 1.1C: Employed and obtained an increased in employment income and/or benefits.

NI 1.2 A: Obtained skills/competencies required for employment.

NI 1.2 B: Completed ABE/GED and received certificate or diploma.

NI 1.2 D: Enrolled children in before or after school programs.

NI 1.2 E: Obtained care for child or other dependent.

NI 1.2 F: Obtained access to reliable transportation and/or driver's license.

NI 1.2 I: Obtained food assistance.

NI 1.2 L: Obtained other non-emergency assistance.

NI 1.3 (A1): Number and percent of participants in tax preparation programs who qualified for any type of Federal or State tax credit and the expected aggregated dollar amount of credits.

NI 1.3 (A3): Number and percentage of participants enrolled in telephone lifeline and/or energy discounts with the assistance of the agency and the expected aggregated dollar amount of savings.

NI 1.3 (B1): Number and percent of participants demonstrating ability to complete and maintain a budget for over 90 days.

NI 1.3 (B2): Number and percent of participants opening an Individual Development Account (IDA) or other savings account.

NI 1.3 (B3): Number and percent of participants who increased their saving through IDA or other savings accounts and the aggregated amount of savings.

Goal 2: The conditions in which low-income people lives are improved:

NI 2.1 A: Jobs created or saved from reduction or elimination in the community.

NI 2.1 C: Safe and affordable housing units created in the community.

NI 2.1 D: Safe and affordable housing units in the community preserved or improved through construction, weatherization or rehabilitation achieved by Community Action activity or advocacy.

NI 2.2 E: Increase or preservation of neighborhood quality-of-life resources.

NI 2.3 B: Number of volunteer hours donated to the agency.

Goal 3: Low-income people own a stake in their community:

NI 3.1: Total number of volunteer hours donated by low-income individuals to Community Action.

NI 3.2 A: Number of low-income people participating in formal community organizations, government, boards or councils that provide input to decision making and policy setting through community action.

NI 3.2 B: Number of low-income people acquiring businesses in their community as a result of community action assistance.

NI 3.2 D: Number of low-income people engaged in non-governance community activities or groups created or supported by community action.

Goal 4: Partnerships among supports and providers of services to low-income people are achieved:

NI 4.1: The number of organizations, both public and private, community action actively works with to expand resources and opportunities in order to achieve family and community outcomes.

Goal 5: Agencies increase their capacity to achieve results:

NI 5.1: The number of human capital resources available to Community Action that increase agency capacity to achieve family and community outcomes.

Goal 6: Low-income people, especially vulnerable populations, achieve their potential by strengthening family and other supportive systems (family stability):

NI 6.1—Independent Living: The number of vulnerable individuals receiving services from community action that maintain an independent living situation as a result of those services: (A) Senior citizens and (B) Individuals with disabilities.

NI 6.2—Emergency Assistance: The number of low-income individuals or families served by community action that sought emergency assistance and the percentage of those households for which assistance was provided, including such services as:

(A) Emergency Food

(B) Emergency fuel or utility payments funded by LIHEAP or other public and private funding sources.

(C) Emergency Rent or Mortgage Assistance

(D) Emergency Car or Home Repair

(F) Emergency Medical Care,

NI 6.3—Child and Family Development: The number and percentage of all infants, children, youth, parents, and other adults participating in development or enrichment programs that achieve program goals.

NI 6.3—Family Supports: Low-income people who are unable to work, especially seniors, adults with disabilities, and caregivers, for whom barriers to family stability are reduced or eliminated:

(A) Enrolled children in before or after school programs

(B) Obtained care for child or other dependant.

(F) Obtained food assistance

(I) Obtained other non-emergency energy assistance.

NI 6.4—Service Counts: The number of services provided to low-income individuals and/or families:

- (A) Food Boxes
- (B) Pounds of Food
- (C) Units of Clothing
- (E) Information and Referrals Calls

These efforts in New Mexico ensure participation in ROMA and compliance to Section 678E(b) of the Act. [‘676(b)(12)]

- (2) **Annual Report:** Section 678E(a)(2) of the Act requires each State to prepare and submit to the Secretary an annual report on the measured performance of the State and its eligible entities. In order to address with Congressional reporting requirements under Section 678E of the Act, this report must include at a minimum information that is pertinent and comprehensive, and which describes in detail CSBG activities and services as well as addresses outcomes which measure how CSBG funds were used to promote self-sufficiency, family stability, and community revitalization.

Use the following outline to report on CSBG services and activities and outcome measurements for the prior fiscal year:

(a) Performance Objectives:

For the 2010 CSBG/IS NASCSP federal report New Mexico successfully reported data on the ROMA/NPIs. (See Attachment in Section VI. Appendices, B.5.)

(b) Program Accomplishments and Activities:

In the 2010 CSBG/IS NASCSP federal report New Mexico reported the following program accomplishments and activities under Part 1, Section D: Accomplishments and Coordination of Funds:

➤ **Strategic Thinking for Long Term Solutions:**

○ **HELP-New Mexico**

- *How did the agency identify the community need?*

A persistent problem affecting the low income community is the difficulty in accessing the training and skills needed for a decent paying job in the technology sector. Typically, such training requires certain educational pre-requisites and is offered at times and locations that can be problematic for low income individuals. HELP New Mexico has designed a pilot training program that addresses the issues and difficulties that low-income individuals experience. The goal of the program was to make high-tech clean energy sector jobs reachable to individuals with low educational levels. HELP New Mexico implemented a Photovoltaic Solar Panel

installation training program, using specialized classroom training and hands-on installation experience.

HELP New Mexico used community surveys, grant research, strategic planning sessions, and research from the New Mexico Economic Development Department (NMEDD). NMEDD's technology report recommended the creation of high-wage alternative energy/technology jobs in rural and urban communities in New Mexico. In addition, the report recommended utilizing New Mexico's resources to ensure that New Mexicans are trained and prepared to succeed in these jobs. HELP New Mexico partnered with multiple organizations to create alternative energy training opportunities for low-income individuals.

- *How were CSBG funds used to plan, manage, and/or develop the approach?*
Regular CSBG and CSBG ARRA funds were used for the development of the Photovoltaic Solar Panel installation training program. This plan included staff training, partnership development with various organizations, training design, program management, and oversight.

The program entailed the following:

- ❖ Specialized curriculum/materials development
- ❖ Specialized training provided by educational institutions—40 hours of classroom and hand-on installation training
- ❖ Supportive Services included a \$500.00 stipend to participants upon successful completion of the training
- ❖ Personnel activities: planning, implementation, outreach, follow up, and assessment
- ❖ Facilities: training/installation sites

D. What local partners were involved, and how did each contribute to the program?

- ❖ El Paso Joint Apprenticeship Training Committee: Conducted classroom/installation training
- ❖ Border Solar Energy Company: Provided expertise, materials, and equipment for the installation of solar panels on two homes in Anthony, New Mexico
- ❖ New Mexico Solar Energy Association: Provided classroom/installation training to HELP New Mexico staff
- ❖ Tierra Del Sol Housing Corporation: Recruited participants and provided classroom/installation sites
- ❖ Doña Ana Community College: Provided equipment and instructors for classroom/installation training
- ❖ Job Corp: Recruited participants from their apprenticeship training program
- ❖ Central New Mexico Community College: Provided facilities for classroom/installation training. Recruited participants from the electrician's program
- ❖ Affordable Solar, Inc.: Provided trainers

E. *What outcome indicators did the agency use to measure success?*

The agency used training enrollment numbers, job placements rates, job retention, and continuing education in alternative energy/high-tech occupations as outcome indicators.

F. *What outcomes have resulted in FY 2010?*

HELP New Mexico provided three Specialized Solar Photovoltaic Design and Installation classes in the communities of Anthony, Bernalillo, and Albuquerque. Below are the outcomes:

- ❖ Community awareness of the benefits of solar alternative energy
- ❖ Low-income individuals were linked to private sector businesses in the alternative energy sector
- ❖ 73 participants enrolled and completed the course
- ❖ 42 participants obtained employment
- ❖ 10 participants were business owners who successfully completed the program
- ❖ One business owner earned installation certification, which saved his business
- ❖ Participants with a High School diploma earned three hours of college credit
- ❖ 12 participants continued their education in the alternative energy/high tech field

➤ Delivering High-Quality, Accessible, and Well-Managed Services

Top State Management Accomplishments

- Community Action Agency of Southern New Mexico:
The top management accomplishment by the State CSBG Office in FY 2010 was their responsiveness to the reporting requirements of the American Recovery and Reinvestment Act (ARRA). The State CSBG Office's commitment to excellence, flexibility, and problem-solving helped us resolve issues in a timely manner, and enabled us to complete all data reporting requirements. The State CSBG Office provided us with instructions to comply with requests they received from Federal and State agencies. They always worked with us as a partner to help us achieve the best results in our programs and reporting the data.
- Economic Council Helping Others (ECHO):
The New Mexico Human Services Department's CSBG Program was finally able to recruit additional staff to assist with the administration of the statewide program. This was a huge accomplishment and has resulted in more timely requests to the sub-grantees for proposals, documentation, reports and payments.
- Eastern Plains Community Action Agency:
Eastern Plains Community Action Agency credits the Work and Family Support Bureau with prompt technical assistance when needed. The leadership provided by the CSBG Office enabled our agency to go forward in establishing a good Case Management Program that provided assistance to people in need while looking for work. They closely monitored CertiClear reporting and provided guidance in various

areas of the stimulus project undertaken by our agency.

- HELP New Mexico:
HELP-New Mexico, Inc. (HELP-NM) has always maintained a strong partnership with the New Mexico CSBG contract authority.

This year, besides the excellent oversight of the regular and migrant CSBG activities, the State CSBG Office facilitated the implementation, monitoring and oversight of ARRA CSBG activities in our state. This strong oversight by our State's CSBG team provided the opportunity for HELP-NM to create and/or place over 900 jobs, expand our assistance and job placement services to the newly unemployed, and provide rural workers with customized photovoltaic solar panel training.

From the announcement of the ARRA funds to the actual disbursement of funding, the State CSBG Office was on top of the situation. They gave advance warning of the funding and prepared us for the impending flurry of work needed in order to secure and spend the funding in an organized and efficient manner.

The State CSBG Office has always been active and responsive to our CSBG research and program questions. Their attentiveness and prompt responsiveness have been second to none. Timely responses and action are imperative when we are dealing with the lives and conditions of families at economic risk. Additionally, the CSBG contract authority staff have assisted HELP-NM with Board training and support. They have provided vital information from the CSBG federal partners and support organizations.

It is clear that the CSBG contract authority (its two staff) have been the personification of responsible informed leadership that has led to effective and efficient management of the CSBG program.

- Mid-West Community Action Program:
Our State CSBG representatives continue to do an outstanding job in providing Mid-West New Mexico Community Action Program with timely and accurate information. They have always been available to provide clarification and technical assistance as needed. The need for timely response is critical given our ever changing environment. For example, this year a senior member of the agency's management team (CSBG Administrator) decided to retire. This resulted in a tremendous loss of institutional knowledge. The State was quick to respond by making discretionary funds available for staff capacity building. Our State representatives helped us identify our training needs and assisted us in conducting the training. The State has also done a very good job in performing its oversight function. The State Office has been very helpful in identifying reporting discrepancies. They have provided training and technical assistance to make corrections.

In addition, State representatives helped us obtain discretionary funds to help host a state-wide Client Track data collection system training. This training was a huge benefit to all of the Community Action Agencies that attended.

- Southeast New Mexico Community Action Corporation:
The hiring of an additional staff person to assist in the oversight of the CSBG program was an accomplishment for the State Office. This will allow the State Office to provide additional training and technical assistance to community action programs in the state.

Top Three Agency Management Accomplishments:

- Economic Council Help Others, Inc.
ECHO believes that the most sustainable way to assist families out of poverty is to find the means to get them into their own homes. In San Juan County the Home Ownership Problems Eliminated (HOPE) program was created. Through the use of ARRA funds ECHO was able to retain/hire staff for this housing program. HOPE assisted qualified clients with USDA Rural Development 502 mortgages for the construction of new homes. Through the end of FFY 2010, ten homes have been completed with a total mortgage value of \$1,703,216 and an economic impact of \$5,109,648 for San Juan County's economy. As of July 1, 2010, the program has been entirely self-sustaining through developer's fees retained on each new home.
- Mid-West NM Community Action Program
Mid-West New Mexico Community Action program implemented an integrated set of changes that increased the effectiveness and efficiency of their service system. They consolidated the CSBG Fiscal Management and Program Management functions into one position, which resulted in improved oversight and internal controls. They refined their "One Stop Shop" service delivery process by co-locating Head Start and CSBG offices at several locations in their large, predominantly rural service area. This arrangement facilitated a comprehensive client needs assessment, an individualized service plan, and application assistance. These changes have reduced the amount of time, energy, distance and difficulty some families experienced in applying for services.
- Southeast NM Community Action Corporation
Southeast NM Community Action Corporation has partnered with the City of Carlsbad and the community to construct an Adult Day Care facility. The City of Carlsbad, the Carlsbad Department of Development and the Carlsbad Chamber of Commerce have been working to make Carlsbad an attractive retirement location. The goal is to develop and construct a consolidated senior center which will provide the following services: Adult Day Care services, Senior Meals, and a Senior Recreation Program.

Southeast NM Community Action Corporation was a critical partner that helped secure funding for the construction of the Adult Day Care facility. Over \$1 million had to be raised. The City of Carlsbad received the funding for the construction. In addition, the Carlsbad Department of Development donated a large parcel of land

adjacent to the Riverwalk area for the facility. This beautiful waterfront property serves as a great recruitment tool for retirees. Through careful planning and construction this economic development initiative will boost the lives and conditions of the residents of Carlsbad.

Southeast NM Community Action Corporation will operate the Adult Day Care services and other senior programs. The facility is scheduled to be operational in 2011.

➤ Mobilizing Resources to Support Innovative Solutions

- Community Action Agency of Southern NM
 - *Program name:* Free Tax Preparation Service
 - *CSBG service category:* Income Management
 - *Description of program (capacity, duration, targeted population, etc):*

Community Action Agency of Southern New Mexico (CAASN) embedded two services— small business development counseling and Single Stop benefits screening and counseling—into its free tax preparation program. This innovative approach to tax preparation services enabled hundreds of micro-business owners and self-employed low income people to meet with trained CAASN counselors at the two tax sites and avail themselves of small business counseling. In addition, low income taxpayers of all age groups were able to be screened for social benefits eligibility while waiting to complete their taxes.

Services were offered weekdays and some evenings from February 1, 2010 through April 14, 2010. The free tax preparation service was staffed with two CAASN employees, four temporary employees, and IRS certified tax preparer volunteers. CAASN collaborates with Dona Ana Community College tax students who prepare taxes for CAASN's participants for a minimum of 25 hours as part of their class work. In addition, the American Association of Retired Persons provides volunteers to help with all aspects of the program, including volunteer tax preparers who attend tax preparation classes and pass the Internal Revenue Service tax preparation test. The United Way provided a grant to support free tax preparation services in Anthony, NM.

Participants are served on a first come, first served basis. Approximately 100 people are served per day. Each person is greeted and a quick check is done to make sure the participant has all of their necessary paperwork with them, such as W-2, social security numbers, and identification. People with the required information to prepare their taxes are given a number. During the waiting time, they are offered the opportunity to meet with a Single Stop benefits counselor or a small business counselor. The benefits counselor screens for eligibility for sixteen federal and state benefits such as the Supplemental Nutrition Assistance Program

(SNAP), child care, Women, Infants and Children (WIC), Medicaid, Supplemental Security Income (SSI), and Social Security Disability Insurance (SSDI). When their number is called, they meet with a tax preparer to complete the filing of their taxes and tax service survey forms. All CAASNMs services are offered in Spanish and English.

- *How was the agency's approach innovative or creative?*
The agency's approach to enhance free tax preparation with the addition of small business counseling and social benefits eligibility screening is a creative resource solution in combating poverty and financial insecurity in the service area.
- *Outcomes achieved (include the number of people enrolled and areas affected)*
 - ❖ Over 250 small businesses and self-employed people received small business counseling and achieved savings for a total of \$250,000.
 - ❖ Six hundred individuals and families were screened for federal and state social benefits eligibility. \$559,000 in new benefits was received by participants who received this service at the tax sites based on follow-up visits and communication with the Single Stop counselors.
 - ❖ 7,863 federal and state tax returns were prepared for low income residents of Dona Ana County. Based on these returns, \$3.2 million in refunds, including the Earned Income Tax Credit, was received by families and spent in the local economy. \$611,910 in tax preparation fees was saved by participants who could use this money to meet other basic needs.
- *How were CSBG funds used?*
CSBG funds were used to pay the salary of the Asset Development Director responsible for the management of the sites, all services, and partner relationships.
- *What local partners were involved, and how did each contribute to the program?*
 - ❖ United Way of Southern New Mexico provided a grant of \$4,000.00 to open and operate the tax site in Anthony, NM.
 - ❖ Dona Ana Community College created a class in tax preparation. Participating students earned three credit hours and were required to complete 25 hours of hands-on tax preparation services. Twenty-two students participated with tax preparation services for CAASNMs.
 - ❖ American Association of Retired Persons provided software, tax materials, and volunteers for the Las Cruces tax preparation site.

➤ Providing Positive Results for Vulnerable Populations

Youth Focus Initiative:

- Community Action Agency of Southern NM

- *Description of initiative:*

Community Action Agency of Southern New Mexico's (CAASNMs) Youth Individual Development Account program provided up to \$5,000.00 to high school

juniors and seniors for post-secondary education. The agency matched every dollar saved by the student or his/her parents up to \$1,000.00. The matching funds were obtained from the Assets for Independence federal program. Students were required to successfully complete 20 hours of financial literacy training. The classes provided students with information to help them understand budgeting, manage large purchases, and avoid debt early in life. Some of the classes also discussed student loans, scholarships, and provided hands-on training for Federal Student Aid applications. The students were also required to write a career plan. In FY 2010, 20 students participated in the program.

- *What local partners were involved, and how did each contribute to the program?*
 - ❖ Junior Achievement of New Mexico provided free curriculum and training materials for the students.
 - ❖ Dona Ana Community College provided training on the Free Application for Federal Student Aid.
 - ❖ Las Cruces, Mayfield, and Oate High School guidance counselors recommended student applicants for the program. The City of Las Cruces provided a grant for matching funds through the Community Development Block Grant Program.
 - ❖ Prosperity Works (a non-profit organization) handled the matching funds.

- *Outcomes achieved (include the number of people enrolled and areas affected)*

19 of 20 students completed all of the requirements of the program and received the maximum of \$5,000.00 toward their higher education. Students chose the following universities:

 - ❖ 15 students attend New Mexico State University in Las Cruces, NM.
 - ❖ 1 student attends University of New Mexico in Albuquerque, NM.
 - ❖ 1 student attends Western New Mexico University in Silver City, NM
 - ❖ 1 student attends Trinity University in San Antonio, TX.
 - ❖ 1 student attends Anamarc Educational Institute in El Paso, TX.

- *How were CSBG funds used?*

CSBG funds were used to pay the salary of the Asset Development Director who coordinated the program with Prosperity Works, local high schools, local partners, students and their parents. Without the support of CSBG funds, this program for youth would not have been possible.

Senior Focus Initiative:

- Mid-West NM Community Action Program
 - *Description of initiative:*

The Mid-West New Mexico Community Action Program operated a Senior Home Bound Food Program. This program was designed to assist seniors who were home bound due to illness, disability, or lack of transportation. The contents of the food box were designed by a nutritionist to help our elderly clients with special dietary needs.

- *What local partners were involved, and how did each contribute to the program?*
Mid-West New Mexico Community Action Program in coordination with the Road Runner Food Bank provided this valuable service to eligible seniors. Road Runner Food Bank provided all the food boxes at no cost. Mid-West New Mexico Community Action Program provided the staff support and delivery of food. In addition, seniors also received other related supportive services and assistance based on their needs.
- *Outcomes achieved (include the number of people enrolled and areas affected)*
The Home Bound Food Program was implemented in Valencia and Socorro Counties. Approximately 110 low-income home bound seniors were assisted.
- *How were CSBG funds used?*
CSBG funds were used for administrative and operational costs to administer the program. CSBG funding enabled the agency to provide a needed service to a vulnerable population.

(c) Comparison of Planned and Actual Expenditures for Prior Fiscal Year:

(1) Planned Distribution of Funds to Eligible Entities vs. Actual Expenditures FY 2010:

	Planned:	Actual:
Eligible Entities (CAAs):	\$3,613,840	\$3,613,840

NOTE: No funds were recaptured and redistributed.

(2) Planned Distribution of Funds for Discretionary Purposes vs. Actual Expenditures in FY 2010:

	Planned:	Actual:
Discretionary Projects:	\$355,494	\$212,939

(3) Planned Use of Funds for State Administration vs. Actual Expenditures in FY 2010:

	Planned:	Actual:
State Administrative Costs	\$297,312	\$182,519

Total Funds planned vs. actual expenditures for FY 2010:

	Planned:	Actual:
Total:	\$4,266,646	\$4,009,298

(d) Profile of Participants Served (Number of characteristics of clients served) FY 2010:

Number of Agencies Reporting:

Total unduplicated # of persons whom one or more characteristics were obtained:

Total unduplicated # of persons whom no characteristics were obtained:

Total unduplicated # of families whom one or more characteristics were obtained:

Total unduplicated # of families whom no characteristics were obtained:

	6
	72,578
	76,339
	31,012
	46,353

Gender:	# of Persons:
Male:	22,644
Female:	28,309
TOTAL:	50,953

Age:	# of Persons:
0-5	14,318
6-11	10,184
12-17	5,519
18-23	3,336
24-44	8,688
45-54	4,659
55-69	14,623
70+	1,836
TOTAL:	63,163

Ethnicity and Race	
Ethnicity:	# of Persons:
Hispanic or Latino:	35,500
Not Hispanic of Latino:	27,939
TOTAL:	63,439
Race:	# of Persons:
White:	42,436
Black African American:	1,025
American Indian and Alaska Native:	13,452
Asian:	135
Native Hawaiian and Other Pacific:	80
Other:	5,769
Multi-race (any 2 or more of the above):	542
TOTAL:	63,439

Education Level of Adult:	# of Persons 24 and Older:
0-8:	3,243
9-12/non graduates:	4,656
high school grad/GED:	7,090
12+some post second:	1,665
2 or 4 yr college grad:	1,096
TOTAL:	17,750

Other Characteristics:	# of Persons	
	# person	# surveyed
No health insurance:	16,519	34,700
Disabled:	5,844	34,942

Family Type:	# of Families
Single parent/female	4,358
Single parent/male	722
2-parent household	3,884
Single person	6,423
2 adults/no children	1,332
Other:	653
TOTAL:	17,372

Family Size:	# of Families:
One	6,423
Two	3,149
Three	2,782
Four	2,563
Five	1,450
Six	653
Seven or more	410
Total:	17,430

Source of Family Income:	# of Families:
Unduplicated # of Families Reporting	
1 or More Sources of Income:	16,785
No Income:	1,302
TOTAL:	18,087
TANF	1,441
SSI	2,404
Social Security	3,149
Pension	393
General Assistance	319
Unemployment Insurance	1,067
Employment + Other Sources	1,730
Employment Only	5,245
Other	2,121

Level of Family Income (% of HHS Guideline)	# of Families:
Up to 50%	5,239
51% to 75%	3,265
76%to 100%	2,938
101% to 125%	1,241
126% to 150%	983
151% and over	3,440
TOTAL:	17,106

Housing:	# of Families:
Own	5,863
Rent	8,859
Homeless	238
Other	1,836
TOTAL:	16,796

(e) Statistical Report on CSBG Program Services:

Service Category	# of Agencies Reporting	CSBG Funds
Education	6	\$313,299
Emergency Services	6	\$812,268
Health	5	\$234,961
Housing	4	\$311,707
Income Management	5	\$447,383
Linkages	6	\$413,265
Nutrition	5	\$803,472
Employment	6	\$289,978
Self-sufficiency	4	\$200,446
Other	0	0

(f) Training and Technical Assistance Provided by the State:

The CSBG State office provided training and technical assistance for the following CAAs:

- Eastern Plains Community Action Agency received discretionary funding for training and technical assistance, and capacity building. Executive staff and CSBG Program staff attended training conferences held by Community Action Partnership and NASCSP. Training topics included capacity building, governance, financial management, performance improvement and ROMA.

In addition, Eastern Plains Community Action Agency received technical assistance for its governing Board of Directors. The purpose of the technical assistance was to help the governing Board of Directors comply with the NM Community Action Act.

- Economic Council Helping Others (ECHO) received discretionary funding for training and technical assistance, and capacity building. ECHO's Board of Directors received governance training from Jean Block Consulting, Inc. and Gooding & Associates. ECHO's staff received training on the Client Track data collection system.
- HELP New Mexico received funding for the purpose of leadership development, capacity building, and training and technical assistance, for its Board of Directors and staff. The Board of Directors received training from Eslabon Associates, Inc. regarding governance, strategic planning, capacity building, oversight, and transparency standards. Several Board members also attended the following training conferences: WIPFLI, Community Action Partnership, and the National Council of the La Raza.

HELP NM's Workforce Development Division staff received training in case

management, entrepreneurship, and the Client Track data collection system. The Chief Financial Officer of the agency attended the WIPFLI training conference.

- Mid-West New Mexico Community Action Program received funding for training and technical assistance for its CSBG Program Manager. The Program Manager received one-to-one training regarding the financial and program requirements of the CSBG program. He also attended training workshops at the CAPLAW conference. In addition, the CSBG State office provided onsite training to the frontline staff on ROMA and the NPIs.
- The State CSBG office provided training and technical assistance to Southeast NM Community Action Corporation's new Executive Director. The Executive Director received a manual that included the following information: COATES Act, the New Mexico State Statute—Community Action Act, CSBG Policy and Procedures Manual, HSD's Professional Service Contract and amendments, a copy of the State's CSBG/IS and the agency's individual CSBG/IS, and OCS Information Memorandum Transmittal 82. The Executive Director received one-to-one training regarding CSBG regulations.

Supported Southeast NM Community Action Corporation's request to obtain a Financial Consultant to assist with the agency's Finance Department until the Finance Director's position was filled. The State CSBG office worked closely with the Financial Consultant to ensure financial reporting was being conducted in accordance to the Professional Services Contract.

In addition, the CSBG State office approved the agency's request to attend national training conferences and workshops, such as, CAPLAW, WIPFLI, and Community Action Partnership.

VI. Appendices

A. Documentation of Legislative and Public Hearings

(Include copies of public notices, letters, newspaper articles, etc.)

1. Notice of Legislative Hearing
2. Notice of Public Hearing

B. Additional Data or Information

1. Letter of Transmittal
2. State Statute
3. Letter of Designation
4. CSBG Policy and Procedures Manual
5. Outcomes of Efforts, FY 2010—National Performance Indicators
6. Certifications:
 - Environmental Tobacco Smoke
 - Lobbying
 - Drug Free Workplace Requirements
 - Debarment, Suspension and Other Responsibility Matters

Section VI. Appendix, A

Notice of Legislative Hearing and Public Hearing



New Mexico Human Services Department

Office of the Secretary

PO Box 2348

Santa Fe, NM 87504-2348

Phone: (505) 827-7750; Fax: (505) 827-6286

Bill Richardson, Governor
Kathryn Falls, Secretary-Designate

December 15, 2009

House Representative Danice Picraux, Committee Chair
Senator Dede Feldman, Committee Chair
Legislative Health and Human Services Committee
Legislative Council Services
411 State Capital
Santa Fe, New Mexico 87501

RE: Community Services Block Grant

Dear Committee Chairs:

This letter requests Legislative input for the New Mexico Community Services Block Grant (CSBG) 2010 and 2011 State Plan. In order to be eligible to continue to receive CSBG federal funding, the New Mexico Human Services Department (HSD) is required to request Legislative input for the CSBG State Plan every three years. Usually this is accomplished by presenting the Plan at a Legislative hearing; however, the committee agenda was full so HSD is providing the attached overview of the CSBG program along with the new State Plan for the committee's review and input. HSD staff last presented the Plan to the New Mexico Legislative Health and Human Services Committee in 2006.

Please provide your comments by January 19, 2010 to the following address:

NM Human Services Department
Income Support Division
Work and Family Support Bureau
PO Box 12740
Albuquerque, NM 87195-2740

Should you have questions regarding the attached materials including the CSBG State Plan, please contact Cathy Sisneros, Bureau Chief at 505-476-9211 or email Cathy.Sisneros@state.nm.us.

We thank you for time and support.

Sincerely,


Kathryn Falls
Secretary-Designate

Cc: Helen Nelson, ISD Acting Director

Encl: CSBG Power Point Presentation
CSBG State Plan 2010-2011



COMMUNITY SERVICES BLOCK GRANT (CSBG)

Presentation to the Legislative
Health and Human Services
Committee December 18, 2009



What is CSBG?

- A Block Grant from US Health and Human Services Department
- Provides a flexible funding source to local communities through a network of community action agencies for the reduction of poverty
- Regulated by the federal Community Opportunities Accountability Training and Education Services Act (COATES)



Designation

- New Mexico's Community Action Act, designates Human Services Department (HSD) responsible for CSBG
- HSD aligns CSBG with the Work and Family Support Bureau in the Income Support Division (ISD) - Also responsible for TANF

3



Federal Requirement

- For continued funding – Legislative Input on State Plan is required every three years.

4



CSBG Federal Funding

CSBG REGULAR FUNDING

- 2009--\$3,963,326
- 2008--\$3,703,671
- 2007--\$3,573,164

CSBG ARRA FUNDING

- 2009-2010--\$5,695,092

5



Required Allocation of Funds

CSBG REGULAR FUNDING

- 90% Eligible Entities
- 5% HSD administrative expenses
- 5% Discretionary

6



Required Allocation of Funds

CSBG ARRA FUNDING

- 99% Eligible Entities
- 1% Benefits enrollment and coordination of activities

7

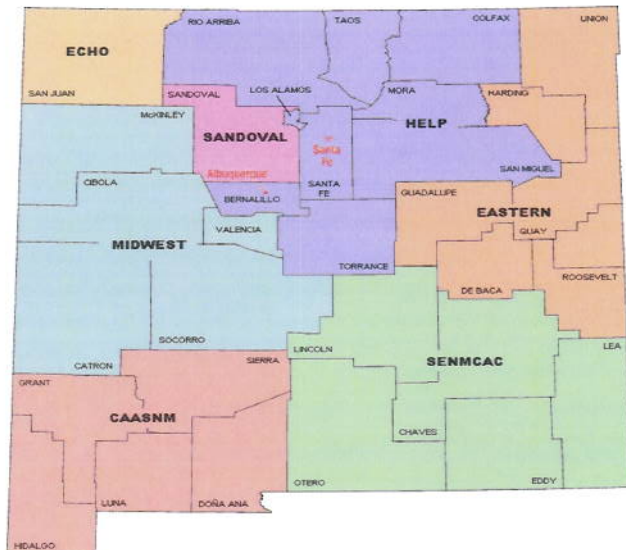


NM CSBG Eligible Entities

- 6 Community Action Agencies (CAAs) designated by the Governor or designated under the provision of the federal Economic Opportunity Act of 1964 on September 30, 1981:
 1. Community Action Agency of Southern NM
 2. Eastern Plains Community Action Agency
 3. Economic Council Helping Others, Inc.
 4. HELP New Mexico
 5. Mid-West NM Community Action Program
 6. Southeast NM Community Action Corp.
- A professional services contract for Sandoval County is awaiting approval from the Department of Finance.
- Only two agencies now make up the Community Action NM Association

8

Geographic Areas Served



9

Fund Distribution to CAAs

CSBG REGULAR FUNDING

- A base allocation of \$50,000 to each CAA
- \$79,515 to HELP-NM for state-wide seasonal and migrant farm workers services

Note: HELP-NM is the only migrant farm worker agency in New Mexico

- Remainder apportioned by county poverty census data to CAAs

10



Fund Distribution to CAAs

CSBG ARRA FUNDING

- A base allocation of \$100,000 to each CAA
- Remainder apportioned by county poverty census data to CAAs

11



NM Service Initiatives

- Employment
 - OJT, work experience, job placement, counseling, self employment, business development, etc.
- Education
 - Head Start, Pre-K, before and after school programs, vocational training, post secondary, GED, pre-employment certification training, literacy, school supplies, etc.

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NM Service Initiatives Cont.

- Emergency Services
 - Emergency rental and mortgage assistance, utility assistance, emergency medical assistance, food vouchers and/or boxes, emergency information and referral, etc.
- Nutrition
 - Food Banks, food pantries, food boxes, children and senior meals, summer food program, child back-pack program, and delivery of food to home bound seniors and disabled individuals

13



NM Service Initiatives Cont.

- Income Management
 - Free tax preparation services (EITC), Individual Development Account (IDA), financial counseling and financial literacy classes
- Housing
 - Rehabilitation and weatherization, construction of new homes, USDA Rural Development mortgages, Homebuyers Education classes and counseling, etc.

14



NM Service Initiatives Cont.

- Health Initiatives
 - Prescription assistance, Adult Day Services, Covering Kids program, and Head Start—children immunization, medical and dental check-ups information and referral

15



NM Service Initiatives Cont.

- Build Partnerships
 - To expand resources and opportunities for low-income individuals and families
- Promote Self-Sufficiency
 - Case management services, financial counseling and budgeting, childcare services, employment and training services, parenting classes, etc.

16



Some FFY 2008 NM Outcomes

- HSD Annual Federal Report
- CAAs leveraged \$54,258,208 of federal, state, local and private funding using CSBG funding
- CAAs served
 - 119,909 individuals
 - 76,394 families
- Outcomes (not all inclusive)
 - 5 CAAs reported
 - 12,429 tax preparation assistance program participants
 - \$4,518,516 in federal and state tax credits realized
 - 8 CAAs reported
 - 465,223 emergency food boxes distributed
 - 7 CAAs reported
 - 6,939 households receiving fuel/energy bills and rent/mortgage assistance
 - 6 CAAs reported
 - 2,949 children enrolled in pre-school activities to develop school readiness skills

17



HSD Fiscal Controls and Monitoring

- HSD full on-site reviews at least every two (2) years
 - Administrative Review
 - Board of Directors Compliance
 - Program Review
 - Fiscal Review

18



September 2010-2011 State Plan Input

Comments Due by: January 19, 2010

To: Cathy Sisneros, Bureau Chief

Phone: 505-476-9211

or

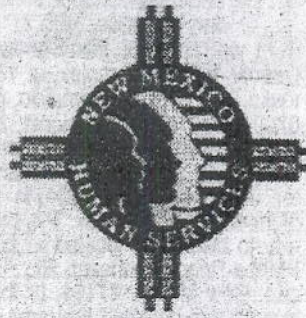
Yvonne Rodriguez-Ulanowicz, Program Manager
1-888-523-0051 or 505-383-2492

Email: Cathy.Sisneros@state.nm.us

Yvonne.Rodriguez-Ulanowicz@state.nm.us

Mail: PO Box 12740

Albuquerque, NM 87195-2740



**Human Services Department
Income Support Division
Work and Family
Support Bureau**

In accordance with the Federal Community Opportunities Accountability Training and Education Services (COATES) Reauthorization Act of 1998, the State of New Mexico Human Services Department will hold a public hearing on Wednesday, August 31, 2011 at 11:00 A.M. at the New Mexico Human Services Department's Law Library, Pollon Plaza, 2009 S. Pacheco, Santa Fe, New Mexico. The purpose of the hearing is to obtain public input on the Community Services Block Grant (CSBG) State Plan.

In accordance with the Federal COATES Reauthorization Act of 1998, the State of New Mexico will submit a State Plan to the U.S. Department of Health and Human Services, Office of Community Services in order for the State to receive a grant or allotment for the CSBG program.

The Department proposes to implement the plan effective October 1, 2011.

Individuals wishing to testify or requesting a copy of the proposed plan should contact the Income Support Division, Work and Family Support Bureau, PO Box 12740, Albuquerque, New Mexico 87195, or by calling 1-888-523-0051.

Individuals not wishing to attend the hearing may send written or recorded comments. Written or recorded comments must be received by 5:00 P.M. on the date of the hearing. Written and recorded comments will be given the same consideration as oral comments made at the public hearing.

If you are an individual with a disability and you require the information in an alternative format or require a special accommodation to participate in any HSD public hearing program or service, please contact the Department toll free at 1-888-523-0051, or through the New Mexico relay system, toll free 1-800-659-8331. The Department requests at least a 10 day advance notice to provide requested alternative formats and special accommodations.

Journal, August 5, 6, 7, 2011



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Human Services Department Income Support Division Work and Family Support Bureau In accordance with the Federal Community Opportunities Accountability Training and Education Services (COATES) Reauthorization Act of 1998, the State of New Mexico Human Services Department will hold a public hearing on Wednesday, August 31, 2011 at 11:00 A.M. at the New Mexico Human Services Department's Law Library, Pollon Plaza, 2009 S. Pacheco, Santa Fe, New Mexico. The purpose of the hearing is to obtain public input on the Community Services Block Grant (CSBG) State Plan. In accordance with the Federal COATES Reauthorization Act of 1998, the State of New Mexico will submit a State Plan to the U.S. Department of Health and Human Services, Office of Community Services in order for the State to receive a grant or allotment for the CSBG program. The Department proposes to implement the plan effective October 1, 2011. Individuals wishing to testify or requesting a copy of the proposed plan should contact the Income Support Division, Work and Family Support Bureau, PO Box 12740, Albuquerque, New Mexico 87195, or by calling 1-888-523-0051. Individuals not wishing to attend the hearing may send written or recorded comments. Written or recorded comments must be received by 5:00 P.M. on the date of the hearing. Written and recorded comments will be given the same consideration as oral comments made at the public hearing. If you are an individual with a disability and you require the information in an alternative format or require a special accommodation to participate in any HSD public hearing program or service, please contact the Department toll free at 1-888-523-0051, or through the New Mexico relay system, toll free 1-800-659-8331. The Department requests at least a 10 day advance notice to provide requested alternative formats and special accommodations. Journal; August 5, 6, 7, 2011



Published on August 07, 2011

Human Services Department Income Support Division Work and Family Support Bureau In accordance with the Federal Community Opportunities Accountability Training and Education Services (COATES) Reauthorization Act of 1998, the State of New Mexico Human Services Department will hold a public hearing on Wednesday, August 31, 2011 at 11:00 A.M. at the New Mexico Human Services Department's Law Library, Pollon Plaza, 2009 S. Pacheco, Santa Fe,

Section VI. Appendix B-1

Letter of Transmittal



New Mexico Human Services Department

Susana Martinez, Governor
Sidonie Squier, Secretary

Income Support Division
Office of the Director
PO Box 2348
Santa Fe, NM 87504-2348
Phone: (505) 827-7250; Fax: (505) 827-7203

August 26, 2011

Yolanda J. Butler, Ph.D., Acting Director
Office of Community Services
US Department of Health and Human Services
Administration for Children and Families
370 L'Enfant Promenade, S.W., 5th Floor West
Washington, D.C. 20447

Dear Ms. Butler:

Enclosed is the Community Services Block Grant (CSBG) Plan for the State of New Mexico for FFY 2012-2013.

The State CSBG Official to receive the CSBG Grant of Award is:

Ted Roth, Acting Director
Human Services Department/Income Support Division
PO Box 2348
Santa Fe, NM 87504-2348
Telephone: (505) 827-7215 Fax: (505) 827-7203

The State CSBG Program Contact Person is:

Nicole Taylor, Acting Bureau Chief
Human Services Department/Income Support Division
Work and Family Support Bureau
PO Box 2348
Santa Fe, NM 87504-2348
Telephone: (505) 827-7287 Fax: (505) 827-7259

The State Fiscal Contact Person is:

Donna Sandoval, Deputy Director
Human Services Department/Administrative Services Division
PO Box 2348
Santa Fe, NM 87504-2348
Telephone: (505) 827-7057 Fax: (505) 827-7187

Should you have question, comments, or concerns regarding the New Mexico CSBG State Plan, please call Nicole Taylor or Yvonne Rodriguez-Ulanowicz, CSBG Program Manager at (505) 383-2492.

Sincerely,

Ted Roth, Acting Director
Income Support Division

Section VI. Appendix B-2

State Statute

ARTICLE 8 COMMUNITY ACTION

Section

- 27-8-1. Short title.
- 27-8-2. Policy; purpose.
- 27-8-3. Definitions.
- 27-8-4. Financial assistance for community action agencies.
- 27-8-5. Community action agencies; designation; powers.
- 27-8-6. Community action agencies; board; local participation.
- 27-8-7. Community action programs.
- 27-8-8. Regulations.
- 27-8-9. Financial assistance; limitations.

27-8-1. Short title.

This act [27-8-1 to 27-8-9 NMSA 1978] may be cited as the "Community Action Act".
History: Laws 1983, ch. 139, § 1.

Legislator contracting with agency must ascertain how agency organized. - A legislator contracting with a community action agency will have to ascertain how the agency is organized to determine whether the prohibitions of N.M. Const., art. IV, § 28 will apply. If it is a county, county agency or a private agency, the contract will not be covered by the provision, but if it is a municipality or municipal agency, the contract will be prohibited if it was authorized by law during the legislator's term. 1989 Op. Att'y Gen. No. 89-34.

27-8-2. Policy; purpose.

Although in recent years New Mexico has shown improvement in indices such as personal income and the number of families below the poverty level, the state continues to compare poorly with other states. New Mexico has risen from 48th in 1974 to 41st in per capita personal income; however, poverty continues to be the lot of a substantial number of New Mexicans. New Mexico can achieve its full economic and social potential only if every individual has the opportunity to contribute to the full extent of his capabilities and to participate in the working of our society. It is, therefore, the policy of this state to eliminate the paradox of poverty in the midst of plenty in this state by opening to everyone the opportunity to live in decency and dignity. It is the purpose of the Community Action Act [27-8-1 to 27-8-9 NMSA 1978] to strengthen, supplement and coordinate efforts in furtherance of that policy.

History: Laws 1983, ch. 139, § 2.

27-8-3. Definitions.

As used in the Community Action Act [27-8-1 to 27-8-9 NMSA 1978]:

A. "poverty level" means the official poverty level established by the federal director of the office of management and budget and revised periodically by the federal secretary of health and human services; and

B. "secretary" means the secretary of human services.

History: Laws 1983, ch. 139, § 3.

27-8-4. Financial assistance for community action agencies.

A. The secretary may provide financial assistance to community action agencies for the planning, conduct, administration and evaluation of community action programs as described in the Community Action Act [27-8-1 to 27-8-9 NMSA 1978] in accordance with state and federal law and regulations.

B. No funds provided pursuant to Subsection A of this section shall be distributed to a community action agency unless the agency has submitted to the secretary a plan on the proposed use of the funds and the secretary has approved that plan.

C. Subject to applicable federal law or regulation, community action agencies shall be eligible to receive federal funds, including but not limited to community services block grant funds, which have been previously designated as antipoverty funds.

D. Each community action agency receiving funds pursuant to this section shall report annually to the secretary concerning the use of the funds.

E. The secretary shall provide annually for an audit of funds distributed pursuant to this section to community action agencies and shall make any requirements necessary to insure fiscal responsibility and accountability and effective, efficient handling of funds.

History: Laws 1983, ch. 139, § 4.

27-8-5. Community action agencies; designation; powers.

A. A community action agency is a political subdivision of the state, a combination of political subdivisions or a public or private nonprofit agency that:

(1) has the power and authority to enter into contracts with public and private nonprofit agencies and organizations in fulfilling the purposes of the Community Action Act [27-8-1 to 27-8-9 NMSA 1978];

(2) is capable of planning, conducting, administering and evaluating a community action program;

(3) has a service area at least equivalent to the geographic boundaries of a county; and

(4) is designated a community action agency by the governor or by federal law or was officially designated a community action agency, community action program or limited purpose agency under the provisions of the federal Economic Opportunity Act of 1964 on September 30, 1981.

B. The governor is empowered to declare that an entity designated as a community action agency under Subsection A of this section is no longer a community action agency upon a determination that such entity is unable or unwilling to carry out its responsibilities under the Community Action Act.

C. A community action agency is empowered to:

(1) receive, administer and transfer funds in support of a community action program under the Community Action Act; and

(2) delegate powers to other agencies and programs subject to the powers of its governing board and its overall program responsibilities.

History: Laws 1983, ch. 139, § 5.

Economic Opportunity Act. - The federal Economic Opportunity Act of 1964, referred to in Subsection A(4), appears as 42 U.S.C.S. § 2704 et seq.

27-8-6. Community action agencies; board; local participation.

A. Each community action agency shall administer its community action program through a community action board consisting of fifteen members. Board members shall be selected as follows:

(1) one-third of the members of the board shall be elected public officials currently holding office in the geographical area to be served by the community action agency or their representatives, except that if the number of elected officials reasonably available and willing to serve is less than one-third of the membership of the board, membership on the board of appointive officials may be counted in meeting this one-third requirement;

(2) at least one-third of the members shall be persons chosen in accordance with democratic selection procedures adequate to assure that they are representative of the poor in the area served; and

(3) the other members shall be officials or members of business, industry, labor, religious, welfare, education or other major groups and interests in the community.

B. Each member of the board selected to represent a specific geographic area within a community shall reside in the area represented.

C. No person selected under Paragraph (2) or (3) of Subsection A of this section shall serve for more than five consecutive years or more than a total of ten years.

History: Laws 1983, ch. 139, § 6.

27-8-7. Community action programs.

Each community action agency shall use available funds for a community action program which:

A. provides a range of services and activities which have a measurable and potentially major impact on causes of poverty in the community;

B. provides activities designed to assist low-income participants, including the elderly poor, to:

(1) secure and retain meaningful employment;

(2) attain an adequate education;

(3) make better use of available income;

(4) provide and maintain adequate housing and a suitable living environment;

(5) obtain emergency assistance through loans or grants to meet immediate and urgent individual and family needs, including the need for health services, nutritious food, housing and employment-related assistance;

(6) remove obstacles and solve problems which block the achievement of self-sufficiency;

(7) achieve greater participation in the affairs of the community; and

(8) make more effective use of other programs related to the purposes of the Community Action Act [27-8-1 to 27-8-9 NMSA 1978];

C. provides on an emergency basis for the provision of such supplies and services, nutritious food and related services as may be necessary to counteract conditions of starvation and malnutrition among the poor;

D. coordinates and establishes linkages between governmental and other social services programs to assure the effective delivery of such services to low-income individuals;

E. encourages the use of entities in the private sector of the community in efforts to alleviate poverty in the community; and

F. furthers any other purpose consistent with federal or state law or regulations.
History: Laws 1983, ch. 139, § 7.

27-8-8. Regulations.

The secretary shall adopt such rules and regulations as may be necessary to carry out the provisions of the Community Action Act [27-8-1 to 27-8-9 NMSA 1978].

History: Laws 1983, ch. 139, § 8.

27-8-9. Financial assistance; limitations.

The secretary, consistent with federal law, shall make grants of not less than ninety percent of the annual allocation of funds available under the community services block grant to community action agencies defined in Subsection A of Section 5 [27-8-5 NMSA 1978] of the Community Action Act. The human services department is authorized to implement, by regulation or contract, a limitation on the amount of community services block grant funds allocated to administrative costs.

History: Laws 1983, ch. 139, § 9.

Section VI. Appendix B-3

Letter of Designation



State of New Mexico

Susana Martinez
Governor

May 18, 2011

Sidonie Squier
Cabinet Secretary
Human Services Department
P O Box 2348
Santa Fe, New Mexico 87504-2348

Dear Secretary Squier,

I hereby delegate to you as Cabinet Secretary, Sidonie Squier of the New Mexico Human Services Department (NMHSD), grantee for the Community Services Block Grant (CSBG), the authority to sign the Assurances, Certifications and Reports for this program, as required by the U.S. Department of Health and Human Services. This authority shall be delegated to you for the length of time you are in the position of NMHSD Cabinet Secretary.

Sincerely.

A handwritten signature in black ink, appearing to read "Susana Martinez".

Susana Martinez
Governor

Section VI. Appendix B-4

CSBG Policy and Procedures Manual

<http://www.hsd.state.nm.us/isd/cap.html>

Section VI. Appendix B-5
Outcomes of Efforts, FY 2010
National Performance Indicators

Number of Agencies Reporting: 6

Goal 1: Low-income people become more self sufficient.

Employment

The number and percentage of low-income participants in Community Action employment initiatives who get a job or become self-employed, as measured by one or more of the following:

	Number of Participants Enrolled in Program(s) (#)	Number of Participants Expected to Achieve Outcome in Reporting Period (Target) (#)	Number of Participants Achieving Outcome in Reporting Period (Actual) (#)	Percentage Achieving Outcome in Reporting Period (%)
A. Unemployed and obtained a job	5	1,773	974	77.30%
B. Employed and maintained a job for at least 90 days	4	658	425	79.59%
C. Employed and obtained an increase in employment income and/or benefits	4	420	168	68.57%
D. Achieve "living wage" employment and/or benefits	1	50	50	100.00%

Number of Agencies Reporting: 6

Goal 1: Low-income people become more self sufficient.

Employment Supports

The number of low-income participants for whom barriers to initial or continuous employment are reduced or eliminated through assistance from Community Action, as measured by one or more of the following:

	Number of Participants Enrolled in Programs (#)	Number of Participants Achieving Outcome in Reporting Period (#)
A. Obtained skills/competencies required for employment	5 3,702	3,408
B. Completed ABE/GED and received certificate or diplom	5 301	101
C. Completed post-secondary education program and obtained certificate or diploma	3 73	6
D. Enrolled children in before or after school programs	2 82	82
E. Obtained care for child or other dependant	6 4,712	4,712
F. Obtained access to reliable transportation and/or driver's license	4 535	532
G. Obtained health care services for themselves and/or family membe	2 143	143
H. Obtained and/or maintained safe and affordable housing	4 545	532
I. Obtained food assistance	5 2,246	2,243
J. Obtained non-emergency LIHEAP energy assistance	4 984	974
K. Obtained non-emergency WX energy assistance	2 79	75
L. Obtained other non-emergency energy assistance (State/local/private energy programs. Do not include LIHEAP or WX)	3 1,315	1,303

Number of Agencies Reporting: 6

Goal 1: Low-income people become more self sufficient.

Economic Asset Enhancement and Utilization

The number and percentage of low-income households that achieve an increase in financial assets and/or financial skills as a result of Community Action assistance, and the aggregated amount of those assets and resources for all participants achieving the outcome, as measured by one or more of the following:

	Number of Participants Enrolled in Programs (#)	Number of Participants Expected to Achieve Outcome in Reporting Period (Target) (#)	Number of Participants Achieving Outcome in Reporting Period (Actual) (#)	Percentage Achieving Outcome in Reporting Period (%)	Aggregated Dollar Amounts (Payments, Credits, or Savings) (\$)
5	9,989	10,504	9,867	93.94%	\$4,102,380
1	2	2	2	100.00%	\$1,876
4	3,826	4,071	3,564	87.55%	\$358,081

Enhancement 1. Number and percent of participants in tax preparation programs who qualified for any type of Federal or State tax credit and the expected aggregated dollar amount of credits

Enhancement 2. Number and percent of participants who obtained court-ordered child support payments and the expected annual aggregated dollar amount of payments

Enhancement 3. Number and percent of participants who were enrolled in telephone lifeline and/or energy discounts with the assistance of the agency and the expected aggregated dollar amount of savings

Number of Agencies Reporting: 6

Goal 1: Low-income people become more self sufficient.

Economic Asset Enhancement and Utilization

	Number of Participants Enrolled in Programs (#)	Number of Participants Expected to Achieve Outcome in Reporting Period (Target) (#)	Number of Participants Achieving Outcome in Reporting Period (Actual) (#)	Percentage Achieving Outcome in Reporting Period (%)	Aggregated Dollar Amounts (Payments, Credits, or Savings) (\$)
Utilization 1. Number and percent of participants demonstrating ability to complete and maintain a budget for over 90 days	5	623	529	84.91%	
Utilization 2. Number and percent of participants opening an Individual Development Account (IDA) or other savings account	3	132	157	118.94%	
Utilization 3. Number and percent of participants who increased their savings through IDA or other savings accounts and the aggregated amount of savings	3	121	131	108.26%	\$118,988
Utilization 4. Of participants in a Community Action assets development program (IDA and others):					
Utilization 4a. Number and percent of participants capitalizing small business with accumulated savings	3	20	12	60.00%	\$42,723
Utilization 4b. Number and percent of participants pursuing post secondary education with accumulated savings	2	20	19	95.00%	\$35,455
Utilization 4c. Number and percent of participants purchasing a home with accumulated savings	3	32	31	96.88%	\$96,703
Utilization 4d. Number and percent of participants purchasing other assets with accumulated savings	1	7	5	71.43%	\$15,000

Number of Agencies Reporting: 6

Goal 2: The conditions in which low-income people live are improved.

Community Improvement and Revitalization

Increase in, or safeguarding of, threatened opportunities and community resources or services for low-income people in the community as a result of Community Action projects/initiatives or advocacy with other public and private agencies, as measured by one or more of the following:

	Number of Projects or Initiatives (#)		Number of Opportunities and/or Community Resources Preserved or Increased (#)
A. Jobs created, or saved, from reduction or elimination in the community	6	22	778
B. Accessible "living wage" jobs created, or saved, from reduction or elimination in the community	3	4	137
C. Safe and affordable housing units created in the community	3	3	17
D. Safe and affordable housing units in the community preserved or improved through construction, weatherization or rehabilitation achieved by Community Action activity or advocacy	3	9	528
E. Accessible safe and affordable health care services/facilities for low-income people created, or saved from reduction or elimination	0		
F. Accessible safe and affordable child care or child development placement opportunities for low-income families created, or saved from reduction or elimination	5	7	725
G. Accessible before-school and after-school program placement opportunities for low-income families created, or saved from reduction or elimination	4	4	269
H. Accessible new or expanded transportation resources, or those that are saved from reduction or elimination, that are available to low-income people, including public or private transportation	3	9	355
I. Accessible or increased educational and training placement opportunities, or those that are saved from reduction or elimination, that are available for low-income people in the community, including vocational, literacy, and life skill training, ABE/GED, and post secondary education	5	16	630

Number of Agencies Reporting: 6

Goal 2: The conditions in which low-income people live are improved.

Community Quality of Life and Assets

The quality of life and assets in low-income neighborhoods are improved by Community Action initiative or advocacy, as measured by one or more of the following:

A. Increases in community assets as a result of a change in law, regulation or policy, which results in improvements in quality of life and assets

0		
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B. Increase in the availability or preservation of community facilities

1	1	1
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C. Increase in the availability or preservation of community services to improve public health and safety

3	10	13
---	----	----

D. Increase in the availability or preservation of commercial services within low-income neighborhoods

1	1	25
---	---	----

E. Increase in or preservation of neighborhood quality-of-life resources

6	22	121
---	----	-----

Number of Program Initiatives or Advocacy Efforts (#)	Number of Community Assets, Services, or Facilities Preserved or Increased (#)
---	--

Number of Agencies Reporting: 6

Goal 2: The conditions in which low-income people live are improved.

Community Engagement

The number of community members working with Community Action to improve conditions in the community.

**Total
Contribution
by
Community (#)**

A. Number of community members mobilized by Community Action that participate in community revitalization and anti-poverty initiatives

6 3,626

**B. Number of volunteer hours donated to the agency
(This will be ALL volunteer hours)**

6 339,996

Number of Agencies Reporting: 6

Goal 2: The conditions in which low-income people live are improved.

Employment Growth from ARRA Funds

The total number of jobs created or saved, at least in part by ARRA funds, in the community.

**Number of
Jobs (#)**

A. Jobs created at least in part by ARRA funds

6	107
---	-----

B. Jobs saved at least in part by ARRA funds

6	61
---	----

Number of Agencies Reporting: 6

Goal 3: Low-income people own a stake in their community.

Community Enhancement through Maximum Feasible Participation

**Total Number
of Volunteer
Hours (#)**

Total number of volunteer hours donated by low-income individuals to Community Action (This is ONLY the number of volunteer hours from individuals who are low-income)

6	189,289
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Number of Agencies Reporting: 6

Goal 3: Low-income people own a stake in their community.

Community Enhancement through Maximum Feasible Participation

The number of low-income people mobilized as a direct result of Community Action initiatives to engage in activities that support and promote their own well-being and that of their community, as measured by one or more of the following:

Number of Low-Income People (#)

A. Number of low-income people participating in formal community organizations, government, boards or councils that provide input to decision-making and policy-setting through Community Action efforts	5	98
B. Number of low-income people acquiring businesses in their community as a result of Community Action assistance	3	182
C. Number of low-income people purchasing their own home in their community as a result of Community Action assistance	3	36
D. Number of low-income people engaged in non-governance community activities or groups created or supported by Community Action	5	1,595

Number of Agencies Reporting: 6

Goal 4: Partnerships among supporters and providers of services to low-income people are achieved

Expanding Opportunities through Community-Wide Partnerships

The number of organizations, both public and private, that Community Action actively works with to expand resources and opportunities in order to achieve family and community outcomes.

Number of Organizational Partnerships (#)

Non-Profit	6	596
Faith Based	6	220
Local Government	6	292
State Government	6	201
Federal Government	6	35
For-Profit Business or Corporation	6	726
Consortiums/Collaboration	5	45
Housing Consortiums/Collaboration	5	27
School Districts	6	113
Institutions of post secondary education/training	6	89
Financial/Banking Institutions	6	42
Health Service Institutions	6	139
State wide associations or collaborations	6	32

In the rows below, please include any additional indicators that were not captured above.

1	1
0	
0	

Total number of organizations CAAs work with to promote family and community outcomes (This total is not calculated automatically)

6	2,558
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Number of Agencies Reporting: 6

Goal 5: Agencies increase their capacity to achieve results

Agency Development

The number of human capital resources available to Community Action that increase agency capacity to achieve family and community outcomes, as measured by one or more of the following:

Resources in Agency (#)

Number of Certified-Community Action Professionals	0	
Number of Nationally Certified ROMA Trainers	1	1
Number of Family Development Trainers	4	14
Number of Child Development Trainers	5	36
Number of Staff Attending Trainings	6	930
Number of Board Members Attending Trainings	5	75
Hours of Staff in Trainings	6	41,420
Hours of Board Members in Trainings	5	1,504

Number of Agencies Reporting: 6

Goal 6: Low-income people, especially vulnerable populations, achieve their potential by strengthening family and other supportive environments.

Independent Living

The number of vulnerable individuals receiving services from Community Action who maintain an independent living situation as a result of those services:

**Number of
Vulnerable
Individuals
Living
Independently (#)**

A. Senior Citizens (seniors can be reported twice, once under Senior Citizens and again if they are disabled under individuals with Disabilities, ages 55-over)

6 16,459

B. Individuals with Disabilities

0-17 4 431

18-54 4 2,382

55-over 4 2,486

Total (NOT automatically calculated) 6 5,844

Number of Agencies Reporting: 6

Goal 6: Low-income people, especially vulnerable populations, achieve their potential by strengthening family and other supportive environments.

Emergency Assistance

The number of low-income individuals served by Community Action who sought emergency assistance and the number of those individuals for whom assistance was provided, including such services as:

		Number of Individuals Seeking Assistance (#)	Number of Individuals Receiving Assistance (#)
A. Emergency Food	5	53,816	52,584
B. Emergency fuel or utility payments funded by LIHEAP or other public and private funding sources	5	10,766	8,618
C. Emergency Rent or Mortgage Assistance	5	4,757	3,310
D. Emergency Car or Home Repair (i.e. structural, appliance, heating system, etc.)	4	577	545
E. Emergency Temporary Shelter	3	23	17
F. Emergency Medical Care	6	548	530
G. Emergency Protection from Violence	2	6	5
H. Emergency Legal Assistance	2	119	81
I. Emergency Transportation	4	360	339
J. Emergency Disaster Relief	1	1	1
K. Emergency Clothing	4	4,604	4,598

Number of Agencies Reporting: 6

Goal 6: Low-income people, especially vulnerable populations, achieve their potential by strengthening family and other supportive environments.

Child and Family Development

The number and percentage of all infants, children, youth, parents, and other adults participating in developmental or enrichment programs who achieve program goals, as measured by one or more of the following:

		Number of Participants Enrolled in Program(s) (#)	Number of Participants Expected to Achieve Outcome in Reporting Period (Target) (#)	Number of Participants Achieving Outcome in Reporting Period (Actual) (#)	Percentage Achieving Outcome in Reporting Period (%)
Infant and Child 1. Infants and children obtain age appropriate immunizations, medical, and dental care.	6	6,437	6,240	6,240	100.00%
Infant and Child 2. Infant and child health and physical development are improved as a result of adequate nutrition	6	14,723	14,569	14,447	99.16%
Infant and Child 3. Children participate in pre-school activities to develop school readiness skills	6	3,650	3,539	3,521	99.49%
Infant and Child 4. Children who participate in pre-school activities are developmentally ready to enter Kindergarten or 1st Grade	6	1,889	1,889	1,889	100.00%
Youth 1. Youth improve health and physical development	2	229	215	205	95.35%
Youth 2. Youth improve social/emotional development	4	326	279	261	93.55%
Youth 3. Youth avoid risk-taking behavior for a defined period of time	2	269	265	245	92.45%
Youth 4. Youth have reduced involvement with criminal justice system	2	269	265	245	92.45%
Youth 5. Youth increase academic, athletic, or social skills for school success	3	355	325	293	90.15%
Adult 1. Parents and other adults learn and exhibit improved parenting skills	5	1,350	1,333	1,304	97.82%
Adult 2. Parents and other adults learn and exhibit improved family functioning skills	4	838	821	792	96.47%

Number of Agencies Reporting: 6

Goal 6: Low-income people, especially vulnerable populations, achieve their potential by strengthening family and other supportive environments.

Family Supports (Seniors, Disabled, and Caregivers)

Low-income people who are unable to work, especially seniors, adults with disabilities, and caregivers, for whom barriers to family stability are reduced or eliminated, as measured by one or more of the following:

	Number of Participants Enrolled in Program(s) (#)	Number of Participants Achieving Outcome in Reporting Period (#)
A. Enrolled children in before or after school programs	0	
B. Obtained care for child or other dependant	1	1
C. Obtained access to reliable transportation and/or driver's license	3	1,191
D. Obtained health care services for themselves and/or family membe	3	1,019
E. Obtained and/or maintained safe and affordable housing	2	117
F. Obtained food assistance	6	17,910
G. Obtained non-emergency LIHEAP energy assistance	2	245
H. Obtained non-emergency WX energy assistance	2	139
I. Obtained other non-emergency energy assistance (State/local/private energy programs. Do not include LIHEAP or WX)	2	251

Number of Agencies Reporting: 6

Goal 6: Low-income people, especially vulnerable populations, achieve their potential by strengthening family and other supportive environments.

Service Counts

The number of services provided to low-income individuals and/or families, as measured by one or more of the following:

Number of Services (#)

A. Food Boxes	5	571,979
B. Pounds of Food	3	8,296,117
C. Units of Clothing	4	7,485
D. Rides Provided	5	13,226
E. Information and Referral Calls	6	40,715

Section VI. Appendix B-6

Certifications

Environmental Tobacco Smoke

Lobbying

Drug Free Workplace Requirements

Debarment, Suspension and Other Responsibility Matters

CERTIFICATION REGARDING ENVIRONMENTAL TOBACCO SMOKE

Public Law 103227, Part C Environmental Tobacco Smoke, also known as the Pro Children Act of 1994, requires that smoking not be permitted in any portion of any indoor routinely owned or leased or contracted for by an entity and used routinely or regularly for the provision of health, day care, education, or library services to children under the age of 18, if the services are funded by Federal programs either directly or through State or local governments, by Federal grant, contract, loan, or loan guarantee. The law does not apply to children's services provided in private residences, facilities funded solely by Medicare or Medicaid funds, and portions of facilities used for inpatient drug or alcohol treatment. Failure to comply with the provisions of the law may result in the imposition of a civil monetary penalty of up to \$1000 per day and/or the imposition of an administrative compliance order on the responsible entity by signing and submitting this application the applicant/grantee certifies that it will comply with the requirements of the Act.

The applicant/grantee further agrees that it will require the language of this certification be included in any subawards which contain provisions for the children's services and that all subgrantees shall certify accordingly.

Sidomi Squasi
Signature

Secretary
Title

New Mexico Human Services Department
Organization

CERTIFICATION REGARDING LOBBYING

Certification for Contracts, Grants, Loans, and Cooperative Agreements

The undersigned certifies, to the best of his or her knowledge and belief, that:

(1) No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of an agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal contract, grant, loan, or cooperative agreement.

(2) If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal contract, grant, loan, or cooperative agreement, the undersigned shall complete and submit Standard Form-LLL, "Disclosure Form to Reporting Lobbying," in accordance with its instructions.

(3) The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subcontracts, subgrants, and contracts under grants, loans, and cooperative agreements) and that all subrecipients shall certify and disclose accordingly. This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by section 1352, title 31, U.S. Code. Any person who fails to file the required certification shall be subject to a civil penalty of not less \$10,000 and not more than \$100,000 for each such failure.

Statement for Loan Guarantees and Loan Insurance

The undersigned states, to the best of his or her knowledge and belief, that:

If any funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this commitment providing for the United States to insure or guarantee a loan, the undersigned shall complete and submit Standard Form-LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions. Submission of this statement is a prerequisite for making or entering into this transaction imposed by section 1352, title 31, U.S. Code. Any person who fails to file the required statement shall be subject to a civil penalty of not less \$10,000 and not more than \$100,000 for each such failure.


Signature

Secretary
Title

New Mexico Human Services Department
Organization

CERTIFICATION REGARDING DRUG-FREE WORKPLACE REQUIREMENTS

This certification is required by the regulations implementing the Drug-Free Workplace Act of 1988: 45 CFR Part 76, Subpart, F. Sections 76.630(c) and (d)(2) and 76.645(a)(1) and (b) provide that a Federal agency may designate a central receipt point for STATE-WIDE AND STATE AGENCY-WIDE certifications, and for notification of criminal drug convictions. For the Department of Health and Human Services, the central point is: Division of Grants Management and Oversight, Office of Management and Acquisition, Department of Health and Human Services, Room 517-D, 200 Independence Avenue, SW Washington, DC 20201.

Certification Regarding Drug-Free Workplace Requirements (Instructions for Certification)

1. By signing and/or submitting this application or grant agreement, the grantee is providing the certification set out below.
2. The certification set out below is a material representation of fact upon which reliance is placed when the agency awards the grant. If it is later determined that the grantee knowingly rendered a false certification, or otherwise violates the requirements of the Drug-Free Workplace Act, the agency, in addition to any other remedies available to the Federal Government, may take action authorized under the Drug-Free Workplace Act.
3. For grantees other than individuals, Alternate I applies.
4. For grantees who are individuals, Alternate II applies.
5. Workplaces under grants, for grantees other than individuals, need not be identified on the certification. If known, they may be identified in the grant application. If the grantee does not identify the workplaces at the time of application, or upon award, if there is no application, the grantee must keep the identity of the workplace(s) on file in its office and make the information available for Federal inspection. Failure to identify all known workplaces constitutes a violation of the grantee's drug-free workplace requirements.
6. Workplace identifications must include the actual address of buildings (or parts of buildings) or other sites where work under the grant takes place. Categorical descriptions may be used (e.g., all vehicles of a mass transit authority or State highway department while in operation, State employees in each local unemployment office, performers in concert halls or radio studios).
7. If the workplace identified to the agency changes during the performance of the grant, the grantee shall inform the agency of the change(s), if it previously identified the workplaces in question (see paragraph five).

8. Definitions of terms in the Nonprocurement Suspension and Debarment common rule and Drug-Free Workplace common rule apply to this certification. Grantees' attention is called, in particular, to the following definitions from these rules:

Controlled substance means a controlled substance in Schedules I through V of the Controlled Substances Act (21 U.S.C. 812) and as further defined by regulation (21 CFR 1308.11 through 1308.15);

Conviction means a finding of guilt (including a plea of nolo contendere) or imposition of sentence, or both, by any judicial body charged with the responsibility to determine violations of the Federal or State criminal drug statutes;

Criminal drug statute means a Federal or non-Federal criminal statute involving the manufacture, distribution, dispensing, use, or possession of any controlled substance;

Employee means the employee of a grantee directly engaged in the performance of work under a grant, including: (i) All direct charge employees; (ii) All indirect charge employees unless their impact or involvement is insignificant to the performance of the grant; and, (iii) Temporary personnel and consultants who are directly engaged in the performance of work under the grant and who are on the grantee's payroll. This definition does not include workers not on the payroll of the grantee (e.g., volunteers, even if used to meet a matching requirement; consultants or independent contractors not on the grantee's payroll; or employees of subrecipients or subcontractors in covered workplaces).

Certification Regarding Drug-Free Workplace Requirements

Alternate I. (Grantees Other Than Individuals)

The grantee certifies that it will or will continue to provide a drug-free workplace by:

- (a) Publishing a statement notifying employees that the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance is prohibited in the grantee's workplace and specifying the actions that will be taken against employees for violation of such prohibition;
- (b) Establishing an ongoing drug-free awareness program to inform employees about --
 - (1) The dangers of drug abuse in the workplace;
 - (2) The grantee's policy of maintaining a drug-free workplace;
 - (3) Any available drug counseling, rehabilitation, and employee assistance programs; and
 - (4) The penalties that may be imposed upon employees for drug abuse violations occurring in the workplace;
- (c) Making it a requirement that each employee to be engaged in the performance of the grant be given a copy of the statement required by paragraph (a);

- (d) Notifying the employee in the statement required by paragraph (a) that, as a condition of employment under the grant, the employee will --
- (1) Abide by the terms of the statement; and
 - (2) Notify the employer in writing of his or her conviction for a violation of a criminal drug statute occurring in the workplace no later than five calendar days after such conviction;
- (e) Notifying the agency in writing, within ten calendar days after receiving notice under paragraph (d)(2) from an employee or otherwise receiving actual notice of such conviction. Employers of convicted employees must provide notice, including position title, to every grant officer or other designee on whose grant activity the convicted employee was working, unless the Federal agency has designated a central point for the receipt of such notices. Notice shall include the identification number(s) of each affected grant;
- (f) Taking one of the following actions, within 30 calendar days of receiving notice under paragraph (d)(2), with respect to any employee who is so convicted -
- (1) Taking appropriate personnel action against such an employee, up to and including termination, consistent with the requirements of the Rehabilitation Act of 1973, as amended; or
 - (2) Requiring such employee to participate satisfactorily in a drug abuse assistance or rehabilitation program approved for such purposes by a Federal, State, or local health, law enforcement, or other appropriate agency;
- (g) Making a good faith effort to continue to maintain a drug-free workplace through implementation of paragraphs (a), (b), (c), (d), (e) and (f).
- (B) The grantee may insert in the space provided below the site(s) for the performance of work done in connection with the specific grant:

Place of Performance (Street address, city, county, state, zip code)

Check if there are workplaces on file that are not identified here.

Alternate II. (Grantees Who Are Individuals)

- (a) The grantee certifies that, as a condition of the grant, he or she will not engage in the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance in conducting any activity with the grant;
- (b) If convicted of a criminal drug offense resulting from a violation occurring during the conduct of any grant activity, he or she will report the conviction, in writing, within 10 calendar days of the conviction, to every grant officer or other designee, unless the Federal agency designates a central point for the receipt of

such notices. When notice is made to such a central point, it shall include the identification number(s) of each affected grant.

[55 FR 21690, 21702, May 25, 1990]

Sidonie Squin

Signature

Secretary

Title

New Mexico Human Services Department
Organization

CERTIFICATION REGARDING DEBARMENT, SUSPENSION AND OTHER RESPONSIBILITY MATTERS

Certification Regarding Debarment, Suspension, and Other Responsibility Matters-- Primary Covered Transactions

Instructions for Certification

1. By signing and submitting this proposal, the prospective primary participant is providing the certification set out below.
2. The inability of a person to provide the certification required below will not necessarily result in denial of participation in this covered transaction. The prospective participant shall submit an explanation of why it cannot provide the certification set out below. The certification or explanation will be considered in connection with the department or agency's determination whether to enter into this transaction. However, failure of the prospective primary participant to furnish a certification or an explanation shall disqualify such person from participation in this transaction.
3. The certification in this clause is a material representation of fact upon which reliance was placed when the department or agency determined to enter into this transaction. If it is later determined that the prospective primary participant knowingly rendered an erroneous certification, in addition to other remedies available to the Federal Government, the department or agency may terminate this transaction for cause or default.
4. The prospective primary participant shall provide immediate written notice to the department or agency to which this proposal is submitted if at any time the prospective primary participant learns that its certification was erroneous when submitted or has become erroneous by reason of changed circumstances.
5. The terms covered transaction, debarred, suspended, ineligible, lower tier covered transaction, participant, person, primary covered transaction, principal, proposal, and voluntarily excluded, as used in this clause, have the meanings set out in the Definitions and Coverage sections of the rules implementing Executive Order 12549. You may contact the department or agency to which this proposal is being submitted for assistance in obtaining a copy of those regulations.
6. The prospective primary participant agrees by submitting this proposal that, should the proposed covered transaction be entered into, it shall not knowingly enter into any lower tier covered transaction with a person who is proposed for debarment under 48 CFR part 9, subpart 9.4, debarred, suspended, declared ineligible, or voluntarily excluded from participation in this covered transaction, unless authorized by the department or agency entering into this transaction.
7. The prospective primary participant further agrees by submitting this proposal that it will include the clause titled "Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion-Lower Tier Covered Transaction," provided by the department or agency entering into this covered transaction, without modification, in all lower tier covered transactions and in all solicitations for lower tier covered transactions.
8. A participant in a covered transaction may rely upon a certification of a prospective participant in a lower tier covered transaction that it is not proposed for debarment under

48 CFR part 9, subpart 9.4, debarred, suspended, ineligible, or voluntarily excluded from the covered transaction, unless it knows that the certification is erroneous. A participant may decide the method and frequency by which it determines the eligibility of its principals. Each participant may, but is not required to, check the List of Parties Excluded from Federal Procurement and Nonprocurement Programs.

9. Nothing contained in the foregoing shall be construed to require establishment of a system of records in order to render in good faith the certification required by this clause. The knowledge and information of a participant is not required to exceed that which is normally possessed by a prudent person in the ordinary course of business dealings.

10. Except for transactions authorized under paragraph 6 of these instructions, if a participant in a covered transaction knowingly enters into a lower tier covered transaction with a person who is proposed for debarment under 48 CFR part 9, subpart 9.4, suspended, debarred, ineligible, or voluntarily excluded from participation in this transaction, in addition to other remedies available to the Federal Government, the department or agency may terminate this transaction for cause or default.

Certification Regarding Debarment, Suspension, and Other Responsibility Matters-- Primary Covered Transactions

(1) The prospective primary participant certifies to the best of its knowledge and belief, that it and its principals:

(a) Are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded by any Federal department or agency;

(b) Have not within a three-year period preceding this proposal been convicted of or had a civil judgment rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (Federal, State or local) transaction or contract under a public transaction; violation of Federal or State antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property;

(c) Are not presently indicted for or otherwise criminally or civilly charged by a governmental entity (Federal, State or local) with commission of any of the offenses enumerated in paragraph (1)(b) of this certification; and

(d) Have not within a three-year period preceding this application/proposal had one or more public transactions (Federal, State or local) terminated for cause or default.

(2) Where the prospective primary participant is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this proposal.

Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion-- Lower Tier Covered Transactions

Instructions for Certification

1. By signing and submitting this proposal, the prospective lower tier participant is

providing the certification set out below.

2. The certification in this clause is a material representation of fact upon which reliance was placed when this transaction was entered into. If it is later determined that the prospective lower tier participant knowingly rendered an erroneous certification, in addition to other remedies available to the Federal Government the department or agency with which this transaction originated may pursue available remedies, including suspension and/or debarment.

3. The prospective lower tier participant shall provide immediate written notice to the person to which this proposal is submitted if at any time the prospective lower tier participant learns that its certification was erroneous when submitted or had become erroneous by reason of changed circumstances.

4. The terms covered transaction, debarred, suspended, ineligible, lower tier covered transaction, participant, person, primary covered transaction, principal, proposal, and voluntarily excluded, as used in this clause, have the meaning set out in the Definitions and Coverage sections of rules implementing Executive Order 12549. You may contact the person to which this proposal is submitted for assistance in obtaining a copy of those regulations.

5. The prospective lower tier participant agrees by submitting this proposal that, [[Page 33043]] should the proposed covered transaction be entered into, it shall not knowingly enter into any lower tier covered transaction with a person who is proposed for debarment under 48 CFR part 9, subpart 9.4, debarred, suspended, declared ineligible, or voluntarily excluded from participation in this covered transaction, unless authorized by the department or agency with which this transaction originated.

6. The prospective lower tier participant further agrees by submitting this proposal that it will include this clause titled ``Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion-Lower Tier Covered Transaction," without modification, in all lower tier covered transactions and in all solicitations for lower tier covered transactions.

7. A participant in a covered transaction may rely upon a certification of a prospective participant in a lower tier covered transaction that it is not proposed for debarment under 48 CFR part 9, subpart 9.4, debarred, suspended, ineligible, or voluntarily excluded from covered transactions, unless it knows that the certification is erroneous. A participant may decide the method and frequency by which it determines the eligibility of its principals. Each participant may, but is not required to, check the List of Parties Excluded from Federal Procurement and Nonprocurement Programs.

8. Nothing contained in the foregoing shall be construed to require establishment of a system of records in order to render in good faith the certification required by this clause. The knowledge and information of a participant is not required to exceed that which is normally possessed by a prudent person in the ordinary course of business dealings.

9. Except for transactions authorized under paragraph 5 of these instructions, if a participant in a covered transaction knowingly enters into a lower tier covered transaction with a person who is proposed for debarment under 48 CFR part 9, subpart 9.4, suspended, debarred, ineligible, or voluntarily excluded from participation in this transaction, in addition to other remedies available to the Federal Government, the department or agency with which this transaction originated may pursue available remedies, including suspension and/or debarment.

Certification Regarding Debarment, Suspension, Ineligibility an Voluntary Exclusion--
Lower Tier Covered Transactions

(1) The prospective lower tier participant certifies, by submission of this proposal, that neither it nor its principals is presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from participation in this transaction by any Federal department or agency.

(2) Where the prospective lower tier participant is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this proposal.

Sidoni Squier
Signature

Secretary
Title

New Mexico Human Services Department
Organization